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# NCURA

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UNIVERSITY RESEARCH ADMINISTRATORS

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## 50 YEARS LATER...

Celebrating the Science,  
Supporting the Scientist.

**ALSO INSIDE:** "Back in the Day"...Longtime NCURA Members Reflect on Their Careers and on Changes in the Field of Research Administration, *page 6* and Celebrating Compliance – Or, Celebrating Science... With Compliance? *page 8*

## NCURA NEWS

# MESSAGE from the NCURA President

Dear Colleagues:

As I write this I find it hard to believe that summer is over and the school year has begun. I have never spent so much time on the road as I did in 2008, but what an incredible journey!

In February, I had the opportunity to attend the 9th annual Financial Research Administration Conference (FRA). The co-chairs Vivian Holmes and Tammy Raccio did a superb job of bringing the program together under the theme "Financial Research Administration in a Climate of Change," and I heard many positive comments about the depth and breadth of sessions offered. FRA IX had over 700 people in attendance.

In March, I was an evaluator for the beta test of NCURA's newest traveling workshop "Fundamentals of Departmental Research Administration (DRA)." This was a very well thought-out effort by the development team who worked for over a year to bring the materials together. We are very excited about this new program which takes the participant through a transactionally based experience rather than the traditional lecture style. Please look forward to the DRA workshop being available starting in 2009.

The regional spring meetings were held in April and May, and I was fortunate to be able to attend Regions I, III, IV and VI/VII. Having only previously attended my home regional meeting (VI/VII), it was a true pleasure to see that each region does indeed have its own "personality." Attendance at regional meetings was at an all time high!

In June, I was privileged to represent NCURA at the meetings of three other professional associations. The first was the International Network of Research Management Societies (INORMS), which is comprised of research management societies of many countries and regions (including the UK, Canada, Denmark, Europe (EARMA), South Africa, Switzerland, Australia, and West Africa). INORMS' goal is to bring together research management societies and associations to enable interactions, sharing of good practices, and to develop joint activities. NCURA's attendance at this meeting represented the first step in helping establish relationships between NCURA and its sister associations across the globe. There was a great deal of interest shown in developing cross-programming between NCURA and its international counterparts, and I plan to help develop these relationships in the coming months.

The following week I attended the annual meeting of the National Association of College and University Attorneys (NACUA), where I co-presented with Bob Hardy and Alex McKeown on a topic near and dear to my heart – troublesome contract clauses. Looking at the session topics in the NACUA program, I was truly amazed at some of the issues with which our OGC's must deal that we as research administrators often never hear of. To some degree it makes a publication restriction clause seem downright friendly by comparison!

The next day I headed off to the annual meeting of NCURA's sister organization across the Atlantic, the European Association of Research Managers and Administrators (EARMA). There, I was joined by other members of NCURA's leadership. We attended several excellent sessions, and co-presented on topics such as developing a professional development program, and the role of research administrators in enabling complex proposals. We also met to discuss upcoming programming between our organizations, and we hope to see some of our EARMA colleagues in Washington, DC this November.

In August, Bo Bogdanski and Jan Madole, co-chairs of the 3rd annual Pre-Award Research Administration Conference (PRA), welcomed me to South Carolina. The PRA Conference has grown since it first started and it saw over 350 attendees. Based on the excellent work of Bo, Jan and their program committee, and the evaluations from the meeting, I predict we'll see a PRA IV next year.

All-in-all a very exciting year so far, but it's not over yet! By the time you read this we will have just finished-up the Annual Leadership Convention where NCURA's regional and national leaders will review NCURA's strategic plan, and discuss how best to ensure that the lines of communication remain open.

And still to come, the crowning event for the year, NCURA's 50th Annual Meeting, which will be held in Washington, DC this November, during the 2008 Presidential Election! Denise Clark and her program committee have been hard at work since last November planning what promises to be an exceptional meeting, with several new and innovative additions to the program. I am very excited to see what they have put together for us.

Finally, I am pleased to announce the results of NCURA's 2008 national election, from which we'll have NCURA's next Vice-President/President Elect, as well as two incoming At-Large Board Members beginning January of 2009. See page 38 for details!

Wishing you all the best for the rest of 2008,



David Mayo  
NCURA President

David Mayo is the Director of Sponsored Research at the California Institute of Technology.



NCURA's Nominating and Leadership Development Committee has selected the Leadership Development Institute class of 2009. LDI class members and their NCURA advisors are:

ADVISOR: Marianne Woods, *University of Texas at San Antonio*

ADVISOR: Regina Smith, *University of Georgia*

ADVISOR: Vivian Holmes, *Harvard Medical School*

ADVISOR: Linda Bucy, Virginia Tech

ADVISOR: Barbara Cole, *Boston University*

ADVISOR: Bo Bogdanski, *Colorado State University*

ADVISOR: Steve Hansen, *Southern Illinois University Edwardsville*

ADVISOR: Robert Andresen, *University of Wisconsin-Madison*

BEST WISHES TO THE LDI PARTICIPANTS AND  
THEIR VALUABLE YEAR AHEAD!



# Capital View

by Carol Blum

Fiftieth anniversaries are worth celebrating. In 1900, a person born in the United States could not expect to live that long; a baby born in the Sudan today is not likely to reach its 50<sup>th</sup> birthday celebration. So tie up those violets (a traditional 50<sup>th</sup> anniversary flower) in gold ribbons and send them off to the Office of Management and Budget (OMB) to celebrate the 50<sup>th</sup> birthday of OMB Circular A-21, Cost Principles for Educational Institutions.

Federal support for research grew in the 1940s and 1950s with the US entry into the Atomic Age and the space race that accelerated after the Soviet Union launched the first Sputnik satellite in 1957. OMB acknowledged that educational institutions – new federal research partners at the time – were (are) organizationally and programmatically different from commercial firms. In an effort to establish government-wide cost principles recognizing those differences, OMB took the Office of Naval Research's "Blue Book," the first such set of principles to determine indirect cost rates, and revised it for educational institutions. These revised cost principles were designed to be "applicable to research and development grants, contracts, and other funding agreements between the federal government and educational institutions." Published in September 1958, Circular A-21 has been modified since it was first published but continues to define direct and indirect costs, and set standards for accountability, documentation, and consistency.

The arguments supporting the issuance of Circular A-21 may sound eerily familiar to contemporary research administrators, because universities and their Federal partners are still trying to streamline the administrative tasks associated with their relationships. The recent agreement to establish a government-wide standard core set of research award terms and conditions, built on the successful Federal Demonstration Partnership (FDP) model, provides a more streamlined implementation of another OMB Circular, A-110 (born

1976). The goal of the FDP and the push provided by the Research Business Models Subcommittee of the Office of Science and Technology Policy's Committee on Science was to achieve greater consistency in the administration of federal research awards. This core set of Research and Related (R&R) Terms and Conditions is required beginning July 1, 2008 for the ten participating FDP Federal agencies and encouraged for use by non-FDP agencies.

Not all echoes from the past are worth celebrating. We've recently passed the 61st anniversary of President Harry Truman's Loyalty Program. Established in March 1947 by Executive Order 9835, Prescribing Procedures for the Administration of an Employees Loyalty Program in the Executive Branch of the Government, Truman sought to ensure that government employees did not hold allegiance to a foreign power. As the Order stated, "the presence within the Government service of any disloyal or subversive person constitute[d] a threat to our democratic processes; and maximum protection must be afforded the United States against infiltration of disloyal persons into the ranks of its employees." The program required employees to sign a loyalty oath and authorized background checks of employees considered suspect as members of parties or organization that sought the violent over-throw of the US Government or were, in some way considered anti-democratic. In describing the program in November 1947, President Truman sought to assure loyal employees that they had nothing to fear. Truman knew that "the overwhelming majority of Federal employees are loyal citizens who are giving conscientiously of their energy and skills to the United States. [He did] not want them to fear they are the objects of any 'witch hunt.' They are not being spied upon; they are not being restricted in their activities. They have nothing to fear from the loyalty program, since every effort has been made to guarantee full protection to those who are suspected of disloyalty. Rumor, gossip, or suspicion will not be sufficient to lead to the dismissal of an employee for disloyalty." The program required written notification and a hearing before a loyalty board for a determination and, if appropriate, termination of employment. Some historians note that Truman established this program at a time when the United States felt threatened by competing forms of government, including communism, socialism and fascism. World War II had just ended. What became known as the Cold War between the US and Soviet Union was emerging. It is also worth noting that some universities resisted the implementation of loyalty programs on their campuses. And the continuing work of the House Committee on Un-American Activities sought to eliminate the Communist threat from American life.

Many states enacted similar legislation throughout the 1940s and 1950s. And these statutes led to a series of US Supreme Court decisions that affirmed the principles of academic freedom articulated by the American Association of University Professors (AAUP) in its 1940 Statement of Principles on Academic Freedom and Tenure. In its 1957 decision in *Sweezy v. New Hampshire*, [354 U.S. 234 (1957)] the Court held that "The essentiality of freedom in the community of American universities is almost self-evident. No one should underestimate the vital role in a democracy that is played by those who guide and train our youth. To impose any strait jacket upon the intellectual leaders in our colleges and universities would imperil the future of our Nation." In deciding *Keyishian v. Board of Regents*, 385 U.S. 589 in 1967, the US Supreme Court affirmed the decision in *Sweezy* adding that "Our Nation is deeply committed to safeguarding academic freedom, which is of transcendent value to all of us and not merely to the teachers concerned. That freedom is therefore a special concern of the First Amendment, which does not tolerate laws that cast a pall of orthodoxy over the classroom."

Every day, research administrators work to protect academic freedom and restrictions on publications and access to information.

➤ *Continued on page 11*

"Deadlines were almost all postmark, not delivery, and we were always worried about getting that 'round stamp' [postage meter with postmark]." Jack remembers his office at Kentucky cultivated friendships with postal workers. "It was not unusual on deadline date to work until eight or nine at night. We would take proposals to the loading dock at the downtown post office and someone we knew would give us the stamp."

by Bob Lowman



# Reflect

## Changes in the Field of Research Administration

Supplee and Green also remember frequently sending someone to the airport to fly to Washington and hand deliver proposals at the last minute. "Forty copies and a plane ticket," was how Green remembered it. This was apparently only common for colleges and universities relatively close to Washington, DC. Dick Seligman on the west coast did not remember the practice, commenting that it took a whole day to fly east.

Marjorie Forster at the University of Maryland Baltimore also joined NCURA in 1975. She commented on what she saw as one of the major milestones in the field. "Bayh-Dole changed a lot. It created a whole new profession. Pre-award offices used to have technology transfer, human subjects, IACUC, proposal development. We were generalists."

That theme of being "generalists" in the early days and "specialists" today was echoed by all six of the longest-standing members. "Today people are in silos," said Jane Youngers. "People are so specialized. I'm trying very hard to train my successor, but no one has broad, general knowledge across the whole field." Several mentioned that generalists still exist, but only at smaller institutions, such as PUIs, where a few people still have to do everything. Jack Supplee pointed out that large schools today were small 35 years ago. At Kentucky, the award total in 1975 was \$25 million; today it is almost \$250 million, and with size, comes specialization.

Another topic on which there was broad agreement was the continuing importance of good customer service and keeping up with the latest knowledge in the field. Marjorie Forster commented that research administration is "Never boring, always changing with new challenges." She remarked that it provides those in the profession the "opportunity to grow." Jack Supplee advised that "Your job is to provide a quality service." Bill Schulze said "Learn your craft. Try to broaden yourself as much as you can, and try not to be too specialized."

All six acknowledged the importance of good mentors, and all remembered those who had the greatest influence on their careers. The names they mentioned are a "who's who" of research administration: Byron Backlar, Terry Feuerborn, Oliver Hensley, Ray Arrington, George Holcomb, Howard Wile, Dennis Barnes, Julie Norris, Earl Friese, Eric Rude, and Marge Hoppin, among others. They also unanimously praised NCURA as an important part of the profession.

Dick Seligman remembered his introduction to the organization.

"I was told I needed to go to a meeting in Washington in November 'to learn what you need to know,' Dick remembered his boss telling him. "You will learn that some other universities are doing some things better than we are."

Many spoke of the increased competitiveness of grant seeking, the greater complexity of compliance issues, and greater visibility and recognition of those in research administration today. With tongue firmly in cheek, Jane Youngers commented that when she

started in the field "If you could write a proposal on a piece of toilet paper, you could get it funded. Today, she said, "It is much more competitive." She bemoaned seeing 25-year NIH awardees lose their grants because of funding limitations and greater competition. Pat Green commented that "There used to be down times, and there aren't anymore." Marjorie Forster spoke of the increase in the number and complexity of compliance issues, most of which did not exist when she entered the field: human subjects, lab animals, export controls, conflict of interest, misconduct in science. On the other hand, she said she believes that "The quality of services we provide is better. It's a balance between service and compliance standards." Dick Seligman agreed. "People used to see the grants office as an obstacle to be overcome. Today, faculty members appreciate us more."

With more than 225 years of experience in research administration, all six of these senior leaders in the field have their funny stories and inspiring memories. Jack Supplee still remembers the excitement of receiving funding from NASA that allowed scientists at the University of Kentucky to analyze and study rocks brought back from the moon on Apollo missions.

Dick Seligman tells the story of a prominent social scientist who had worked incredibly hard on a major NIH proposal and waited until the very last minute to send it in. Overnight express services were brand new, but they promised next day delivery. The social scientist sent it out the evening before, but there was a huge blizzard on the east coast that night. The plane could not land in Washington, and the proposal was not delivered on time. The sponsor refused to accept the proposal late and politely returned it to the faculty member. The faculty member was enraged, and demanded that the university sue the overnight express company for the full amount of the grant—presumably on the assumption that if it had been received, it not only would have been funded, but for the full amount requested. The faculty member was quite upset when university counsel declined to pursue the lawsuit. The express company did, however, refund the shipping cost.

Pat Green remembers the very first hospitality suites at the annual meeting. "Region III had the first hospitality suite and the only hospitality suite for many years." At first, NCURA members from Region III purchased liquor at a liquor store across the street from the convention hotel where NCURA was meeting at the time—the Statler Hilton (now Capital Hilton) on Sixteenth Street. He remembers sneaking liquor up the stairs so hotel personnel would not see what they were bringing into the room. Later, he remembers, the hotel insisted that they purchase liquor from the hotel, so they would buy one set-up from the hotel. When that ran out, they would refill the bottles with liquor purchased across the street and brought in—as usual—up the back stairs. "I'm sure the hotel wondered how we could have such a big party on a single order," Pat remarked.

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# CELEBRATING COMPLIANCE

## Or, Celebrating Science... With Compliance?

*By John Caruso and Naomi Schrag*

CATCH THEM IN A GENEROUS MOOD AND FACULTY SCIENTISTS ARE SOMETIMES WILLING TO ACKNOWLEDGE RESEARCH ADMINISTRATION AS A NECESSARY EVIL. IN WORSE HUMOR, THEY'RE LIKELY TO VIEW IT AS BYZANTINE BUREAUCRACY THAT SERVES MERELY AS AN ANNOYING DISTRACTION FROM THE SCIENTIFIC WORK THEY'D RATHER FOCUS ON. EVEN FACULTY ADMINISTRATORS THAT DABBLE IN OUR WORLD (OR HAVE WADED IN UP TO THEIR HIP) MAY CLAIM TO PREFER A MORE "NIMBLE" RESEARCH ADMINISTRATION WILLING TO ACCEPT MORE RISK IN FAVOR OF REDUCING FACULTY ADMINISTRATIVE BURDENS.

But isn't this a false dichotomy? It's not really an either/or situation, is it? Isn't it true that streamlining administrative requirements can actually mitigate risk? If compliance is less of a burden, if faculty feel that they understand policies and procedures, and if the rules are presented in a way that actually makes sense, aren't faculty more likely to satisfy requirements? Not only that, but won't they feel more secure and more supported and therefore more able to focus on their scientific work?

From the other side of the aisle, we all know research administration is one of the essential elements of a successful institution. But even so, managing an effective compliance program probably isn't the first thing that comes to mind when we think of how we serve the interests of our research faculty and celebrate the exciting and important scientific work they do. But why not?

Too often, when some people think of compliance, they can focus on its more negative connotations. They think of how we have to enforce rules and confront those who have run afoul of sponsor requirements or institutional policies. Sometimes the very word "compliance" tends to remind us only of our role as cop. When they pick up the phone and find us on the line, how many of our researchers feel that same sinking feeling you get when you see a police car turn on its lights behind you?

But it doesn't have to be that way, and in fact, as many of us well know, it often isn't. An effective compliance program supports—and, yes, even celebrates—scientific research by providing institutional structure, reducing risk, and allowing faculty to focus on their real areas of expertise. With a good compliance program in place, researchers can feel a sense of relief instead of that sinking feeling when they see you coming down the hall or pick up the phone and hear your voice. Good research administration works in the same way that traffic signals, lane markers, and driver licensing help us to get from one place to another while making the roads safer for all of us. And just as we don't need to know every single detail that went into designing those roads or installing those traffic signals to get where we're going, so too our faculty can successfully navigate the twists and turns of compliance requirements with ease once the right institutional structures are in place.

Yes, there are those who relish playing the heavy, but while those folks are busy spit shining their badges and polishing their night-sticks, the rest of us have been spending most of our time figuring out how to be more successful in our other compliance roles so we can spend less time playing cop.

### So, what are these other roles?

**TRANSLATOR.** Even if they had the inclination, faculty members don't have the time or the expertise to read and digest OMB Circulars and the NIH Grants Policy Statement. Grasping the full implications of a fairly straightforward award letter can present a challenge as well, particularly to junior faculty members. That's where we step in to help interpret sponsor documents and translate all that highfalutin 'governmentese' into normal, everyday language, condensing those long-winded texts into succinct, least-you-need-to-know summaries, converting meandering paragraphs into bullet points.

**WEB DESIGNER.** These days it's a given that all your institution's policies, procedures, and forms are on your website. So, it's no great leap to realize that this is also where you will provide researchers access to staff phone lists, flow charts, overview documents, instructions to forms and the like. Developing a Frequently Asked Questions (FAQ) page that asks questions the way a researcher would can be enormously helpful. Another essential component to successful web design is to provide links to other offices involved in the administration of sponsored projects. The main trick here is to organize things in such a way that faculty researchers can find what they're looking for even when they may not know quite what that is.

**GUIDE.** Closely related to the philosophy behind good web design is good coordination between the various offices involved at all levels and all stages of research administration. Yes, our offices each have their areas of responsibility, but from a faculty perspective it can be very confusing to try and sort out which office does what. Rather than trying to enforce artificial barriers between our offices, we need to step up and act as guides to help faculty navigate our functional areas to make research administration a seamless whole for them. Ultimately it's a big plus for both faculty and research administrators to build better connections between the "silos" of administrative activity in an institution—everything flows more smoothly.

# "BACK IN THE DAY"

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**TEACHER.** Having useful documentation online and maintaining a helpful, customer service approach in our encounters with faculty go a long way to creating a positive compliance atmosphere, but if you really want to get the word out there, you're going to have to take it on the road. This means setting up some sort of education or training program, whether a formal series of compliance classes or a set of "canned" presentations you can take to department faculty meetings. It can seem hard to find the bandwidth to develop education materials and prepare presenters, but if you're not training faculty this way, you're already training them one-by-one with each encounter. And remember that being an effective teacher means helping your "students" see the big picture and understand the logic behind individual compliance requirements.

**ADVOCATE.** Perhaps less visible to researchers, but just as important a role is to be their advocate. This means representing the interests of researchers and sharing their concerns not only within your institution but with the larger research administration community, with government and the public at large. By commenting on proposed regulations, joining advisory committees and participating in professional organizations (like NCURA) and advocacy groups (like FDP and COGR), we can not only help effect change, but enhance our credibility with researchers at home.

Remember that when we find ourselves in each of these roles we need to focus on answering the researcher's core questions, which are almost always "How does this affect me?" and "What do I need to do?"

It's also important to help faculty researchers understand and accept their own various roles. Transparency of communications and good, reader-friendly documentation will help with this.

Of course, there will inevitably be moments when we're called upon to be the compliance cop, but the more successful we are at playing these other roles, the less often we'll need to flash the badge and the more often we'll be appreciated by our faculty as a valuable resource that makes their work easier. Just as faculty members have their own areas of expertise, so do we -- and that can afford researchers a sense of relief.

An approach to compliance that balances all of these roles makes for a more fulfilling experience for not only the faculty researcher but also for the research administrator tasked with compliance concerns. And that's definitely cause for celebration.

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John Caruso is Interim Senior Manager, Sponsored Projects Administration at Oregon Health & Science University. Naomi Schrag is Associate Vice President for Research Compliance at Columbia University.

Bill Schulze remembers an NCURA regional convention held in El Paso that produced a story about Marjorie Forster. It seems a group of convention attendees, including both Bill and Marjorie, decided to travel across the border into Mexico for dinner and a night out. Bill worked at Texas Tech at the time; Marjorie was at the Texas Health Science Center at Galveston. In those days, it took no passport for an American citizen to cross the border into Mexico or back into the United States from Mexico. The problem was, Marjorie was a citizen of the United Kingdom. The group insisted she go along anyway. They told her all she would have to do to get back into the country was tell the border patrol agent that she was a U.S. citizen. "Try to say it without an accent," the group told her. It worked, and she was readmitted to the country. According to Bill, and with a different meaning in today's world, "Marjorie Forster entered the United States illegally."

Jane Youngers had the opportunity to travel to Gambia in West Africa to negotiate a third-party USAID contract while she was working at Cornell. The subject of the research was "ground nuts," and they got their work done successfully and the contract signed. The high point of the trip, however, was traveling to a small village where she was enchanted by the children, who crowded around her. Although they could not speak the same language, she remembers an enjoyable time spent with those children, and she remembers a lot more about that experience than she does about the contract.

Jane also remembers the start of the tradition of a Tuesday evening NCURA party at the annual meeting. The meeting was going to be expanded from a Tuesday ending to a Wednesday ending, and the leadership of NCURA came up with the idea of a party to fill Tuesday night. The first party took place during her NCURA presidential year. Attendees had been told to dress casually, and in those days no one dressed casually for any of the NCURA daytime sessions. She was on site for the party early, worried whether anyone would show up for this first-time casual event. She needn't have worried. However, later, she did find an anonymous note slipped under her door condemning the party, because it encouraged men and women who were not married to each other to dance together.

Asked what advice they might offer to people just entering the field today, this group of veteran research administrators was ready with the kind of wisdom one might expect from leaders in the field.

"Follow up. Make sure the job that started with you is successfully completed," offered Jack Supplee.

"Remember our mission as academic institutions," contributed Marjorie Forster. "Be forward thinking, protect academic freedom, and remember we are here to benefit society," she added.

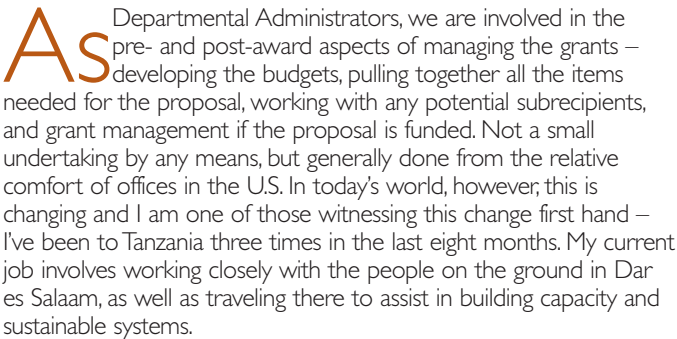
Pat Green counseled, "Find your niche, something you are better at than anyone else." And for someone interested in moving into a leadership position in the field, "Go back to school and earn an advanced degree. Network and stay in touch."

Dick Seligman advised getting to know the people who work for the sponsors. "People think I'm going to Washington to look for money. That's not it at all." For Dick the real value of visiting with sponsors is networking.

And with the last word, Jane Youngers advises, "Be inquisitive. This is a great profession. We're really privileged to work in the field with so many brilliant people. And we are helping them!"

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Robert Lowman is Associate Vice Chancellor for Research, University of North Carolina at Chapel Hill.



*By Jennifer Crockett*

If it hadn't been for my experience with this company, I wouldn't have even thought about applying for my current position at Harvard – International Programs Administrator. The advertisement for the position was interesting, the interview with the PI was intriguing, the thought of potential international travel was exciting, and most of all, it could work well for me at this point in my life both personally and professionally. Research administration for a center-type organization within an academic department was something I had done in the past, so it was an easy transition, at least in my mind. After my first week settling in to my new position, I started preparing for my first trip to Tanzania, which I thought would be in another month or so.

My first week in Dar was fast-paced and wonderful – I toured the local offices, the university working on our grants, the city council offices, and Mwenge (the local arts market where I contributed to the economy by purchasing some hand-made items for my family), and sampled local dishes. Everyone I encountered was pleasant and helpful. While I was in Tanzania on that first trip I wanted to meet with as many people as possible to 'put a face to a name' – this included meeting with the primary financial person at both the university and city council to understand the way they do business, any roadblocks or issues they've encountered with their subcontracts to Harvard, and find ways for me to help them navigate the world of sponsored research. We in the U.S. take things for granted such as availability of computers, training on software, climate controlled work environments, and the ability to network with knowledgeable peers about best practices, compliance, reporting, and other areas of research administration. Tanzania is not a rich country, yet I've never encountered such a great group of people so invested in improving their country's capabilities, building capacity and ensuring sustainability of programs. And I am able to participate in this capacity building by actively engaging my counterparts both from the comfort of my office in the U.S. (with all the generally accepted amenities) and from the local offices in Dar es Salaam. I've experienced first-hand the loss of work from unstable power and overloaded internet service, and the hours it sometimes takes to download email, not to mention the problems encountered when trying to open attachments! Yet through this all, the work continues to get done.



I spent time with the Harvard staff who live in Dar and got a glimpse into their lives as 'ex-pats' living in Tanzania – the real-time pros and cons of living and working outside of the U.S. They helped me to understand what it's like not being fluent in the local language, learning the customs, understanding the differences in the work cultures, and many of the logistical issues such as living in a cash-based country, having to prepay rent for 6 months to a year; paying cash for an auto, and realizing the simple things we take for granted such as potable water; consistent power; and high-speed internet services, as well as the positive effects of their work in this country. While the work itself is fascinating, it wouldn't be possible without qualified people to perform the duties, so it's important as an administrator to understand what the reality is of living abroad.

Each of my three trips to Tanzania in 2008 have been valuable to me in gaining an understanding of policies and procedures in place at the university and city council, how U.S. policies apply, and to begin to plan a path forward. Our goal as a research group is to

build capacity and sustainability in research administration on the ground in Dar, so we are working with my counterparts in Boston and Dar es Salaam to develop training and a knowledge base that will compliment the policies in the country. This wouldn't be possible without developing a good working relationship with those counterparts, and this doesn't happen overnight. A key for me is to ask questions, but to also explain my thoughts and approach, and view this as a true team effort. So far this approach has worked for me.

I find the world of international research fascinating – the work, the people, and the motivations – and highly encourage current administrators to embrace this aspect of work if it becomes an option. You may be surprised where you'll end up.

Jennifer Crockett is an international program administrator within the Department of Nutrition at the Harvard University School of Public Health.



But, these tests of loyalty echo today in the increasing security requirements of some federal R&D and training programs. Background checks and restrictions on the employment of foreign nationals on government-funded research seek to achieve

goals similar to Truman's goals in 1947. On June 6, 2008, President Bush issued Executive Order 13465 to ensure "Economy and Efficiency in Government Procurement Through Compliance with Certain Immigration and Nationality Act Provisions and Use of an Electronic Employment Eligibility Verification System" requiring government contractors to verify the legal immigration status of all employees. The Nuclear Regulatory Commission requires fingerprinting and FBI criminal background checks for anyone allowed unescorted access to defined radioactive materials. The use of government-defined select biological agents in research requires background checks as well. Licenses under the export control regulations seek to protect the U.S. from the loss of valuable scientific information and technologies. And the current discussions on the oversight of life sciences research with the potential for misuse – dual use life sciences research of concern – is aimed at preventing the release of scientific information that could be used to harm citizens of the U.S. Universities continue to resist efforts to control access to and restrictions on the dissemination of information.

The increasing level of restrictions on federally funded research activities led the Council on Governmental Relations (COGR) and the Association of American Universities (AAU) in collaboration with the FDP to issue an update in July 2008 of their 2003/2004 survey of Restrictions on Research Awards: Troublesome Clauses 2007/2008. Based on a survey of 20 U.S. research universities, the new report shows that, despite the concerns and recommendations contained in the earlier report, the situation among federal funding agencies, particularly DOD, has not improved over the past four years. Federal research funding agencies have not only expanded the nature of the controls that inappropriately restrict publication of research results and participation of foreign nationals imposed in award terms but also extended such terms beyond contracts to grants and cooperative agreements. As the report was issued, Undersecretary of Defense John J. Young, Jr. issued a memorandum to the military services and defense agencies reiterating that the Department of Defense (DOD) will not restrict disclosure of DOD-funded basic and applied research results unless the research is classified for national security reasons or otherwise restricted by statute, regulation, or executive order. (The report and memorandum is available on the COGR website at: [www.cogr.edu](http://www.cogr.edu)).

These are troubling times and, while the threats to our national security have changed somewhat from the post-World War II era, they are seen to be real enough and, unfortunately, often home-grown. In fifty years, we'll probably still be discussing indirect costs and streamlining the management of federally sponsored research. But as President Truman said "if you can't stand the heat, get out of the kitchen."

Carol Blum is Director, Research Compliance and Administration, Council on Governmental Relations.



# Annual Meeting Update

## Pull Out Insert!



This year's Annual Meeting is a true celebration of where we were, where we are and where we will be. Without the science and the scientist we support, what would we do? Well, some of us would be farmers, historians, politicians, archeologists, accountants, teachers, musicians, servers, economists, anthropologists and all those professions we went to school to achieve. Instead we chose a different path (or fell into), that of research administrators. The 50th Annual Meeting adds a science track for us to hear first-hand from those we support just why we do what we do. Starting off with our exciting keynote address, "The Mission to Mars," Dr. Steve Squyres will share his experiences as the lead Principal Investigator for the Mars Exploration Rover Project.

Throughout the rest of the meeting, concurrent sessions will be led by other top researchers from across the country, in various fields of research. For example, Dr. Peter Scheidt, Director, National Children's Study, National Institute of Child Health and Human Development, will talk about the largest long-term study of children's health and development ever to be conducted in the United States. Dr. Richard Siegel, Robert W. Hunt Professor of Materials Science and Engineering and Director, National Science Foundation Nanoscale Science and Engineering Center for Directed Assembly of Nanostructures at Rensselaer Polytechnic Institute, will present on the outcomes of the Center which focuses on the integration of research, education, and the technology dissemination to serve as a national and international resource for fundamental knowledge and applications in directed assembly of nanostructures. Dr. Antonio Busalacchi, Director and Professor of the Earth System Science Interdisciplinary Center at the University of Maryland College Park, will lead a concurrent session on how America will adapt to climate change that will affect where and how we live, the price and distribution of food, access to clean water, prevalence of fire and drought, migration of people, wildlife, plants and insects and the spread of disease. Dr. Claire Fraser-Liggett, Director of the Institute of Genome Sciences and a Professor of Medicine at the University of Maryland School of Medicine has played a role in the sequencing and analysis of human, animal, plant and microbial genomes to better understand the role that genes play in development, evolution, physiology and disease. Dr. Barry Aprison, Associate Professor and Director of Science, Technology, Engineering, and Mathematics (STEM) Education Initiatives, School of Education, Johns Hopkins University will talk about the STEM initiative. Our country's supremacy in basic and applied sciences is seriously threatened. Universities, colleges, and high-tech companies are having a difficult time hiring adequate numbers of scientists, engineers, and technical experts to lead cutting-edge research and development projects. As a result, it is predicted that many important Science, Technology, Engineering, and Mathematics (STEM) research and development programs soon will migrate to countries that have the necessary human capital. This displacement of innovation will severely undermine our country's security and prosperity.

We hope you will be able to attend at least one of these exciting additions to the Annual Meeting Program.

### Federal Track

Staying informed and current on the activities and evolving priorities at Federal granting agencies can be difficult, even for experienced research administrators. Add into the mix the countless number of government-wide initiatives at the Federal level and it can seem like a full time job to keep track of all the moving parts. The Federal track at the NCURA 50th Annual Meeting is your one-stop-shop for learning about agency-specific and government-wide activities, priorities and trends.

Each Federal agency update session will feature agency representatives from one or two research agencies. Agency representatives will share important policy, administrative, program, and electronic research administration updates that impact grantees. The research agencies providing updates include the Departments of Agriculture, Defense, Education, and Energy, the National Aeronautics and Space Administration, National Institutes of Health, and National Science Foundation. NIH and NSF will also conduct separate full day workshops for a more comprehensive look at the policies and practices of their respective agencies.

The Federal track also includes sessions focused on government-wide initiatives and activities. Topics that will be covered in these sessions include Research.gov, Grants.gov, Grants Management Line of Business, P.L. 106-107, grant payment and financial reporting standardization, the Federal Demonstration Partnership, and the Federal Funding Accountability and Transparency Act (FFATA).

We hope you will take the opportunity to hear directly from the Federal agencies on the topics and initiatives that are impacting them and, therefore, may impact you.

### Meet the Feds

Join Federal agency representatives for an informal gathering on Monday, November 3, 2008 at 11:30. This is your chance to finally put a face with the name, ask that one question you have been dying to ask but always forget, or just socialize.

# Newcomers FAQs

FAQs Offer Helpful Tips for Newcomers to the 50th Annual Meeting



It is hard to believe that we are now just a couple of months away from NCURA's 50th Annual Meeting, "Celebrating the Science, Supporting the Scientist." We are excited by the registrations that have been coming in from newcomers, and we are looking forward to meeting many of you at this year's annual meeting.

As newcomers prepare for the meeting, a list of Newcomer FAQs is available to assist you. We hope these questions and answers will provide useful information and help to make your first annual meeting educational, exciting, and memorable. The Newcomer FAQs are also available on the 50th Annual Meeting FAQs page: [http://www.ncura.edu/content/educational\\_programs/sites/50/](http://www.ncura.edu/content/educational_programs/sites/50/). In addition, fellow NCURA members will be available throughout the meeting to answer any questions you may have.

We hope that you will participate in the wide range of events available for newcomers, including: Night of Networking on Saturday evening; New Member Orientation on Sunday; New Member Breakfast (by invitation); sessions in the Newcomer Track Monday through Wednesday; and, the networking events that will take place throughout the meeting.

If you have any questions, please feel free to contact us. We look forward to seeing you in November!

**Antoinette Lawson**

Associate Director

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## Newcomer FAQs



**How might I prepare to get the most benefit from the meeting?**



Write down questions you may have in advance of the meeting. Don't hesitate to ask for guidance from a colleague who has previously attended a NCURA meeting. And, check the NCURA website frequently, as updates about the conference will be available.



**How will I know what sessions will benefit me most in my job responsibilities?**



The "Just the Facts" Newcomer Track has been set up by fellow NCURA members to provide a comprehensive overview of the range of topics relevant to sponsored programs administration. The targeted audience is individuals with less than one year experience in research administration. Track offerings will provide an introductory overview of topical issues such as: Acronyms, OMB A-21- Allowability Criteria and Section J; Building a Budget; OMB Circular A-110; Effort Reporting, Cost Sharing, Cost Transfers; Financial Reporting; F&A and F.6.b; eRA; Non-Financial Compliance Issues; and What is Research Administration and How Do We Provide Service to Our PIs? Check out page 3 of the April/May 2008 NCURA Newsletter to learn more about this exciting track.



**Can I attend some of the Newcomer Track sessions and then other sessions not in the Newcomer Track?**



Yes. You may attend any session you feel will assist you in your profession.



**What is the purpose of the New Member Orientation?**



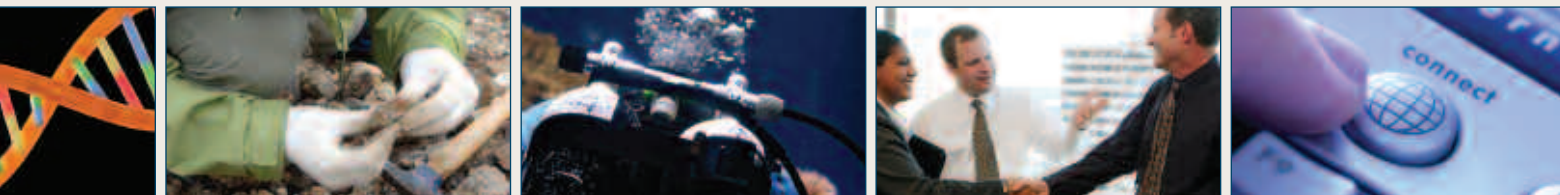
The New Member Orientation is a great opportunity to get an overview of the wealth of resources available to NCURA members. It also offers the opportunity to meet other new members to begin networking and sharing.



**Will there be informal opportunities to network with colleagues?**



Yes. This is one of the benefits of the NCURA annual meeting. There are plenty of opportunities over breakfast, lunch, and dinner, as well as the receptions that are offered. In addition, there will be targeted activities for newcomers during the meeting, such as optional breakfast and lunch discussion tables. Please visit the Events & Activities page for all of the details regarding activities. Make sure to bring plenty of business cards!



**Q What is the difference between a concurrent session, discussion group and workshop?**

**A** Concurrent Sessions are panel presentations that have question and answer time built in. These sessions will have 50 – 200 attendees.

Discussion Groups are facilitated sessions that are limited to 40 people. Instead of presentations being given, those who attend the session discuss the topics and share information with each other. Workshops are paneled presentations with handouts, and are facilitated by topic experts in a classroom style setting. These sessions have built-in question and answer time and 50 – 150 attendees.

**Q For the sessions on Monday, Tuesday & Wednesday, do I need to pre-register for them or can I go to any one I choose?**

**A** In October you will be receiving a request to complete a short survey on which sessions you most likely will attend. This helps us to put the sessions in the appropriate size rooms. If you change your mind between then and the meeting, you can absolutely go to any of the Monday-Wednesday sessions that you like.

**Q What if I am not comfortable asking my burning question in front of a large audience?**

**A** Session presenters usually make their contact information available to attendees for follow-up questions. There may be opportunities to ask questions one-on-one at the end of sessions, if time permits.

**Q Can I get session materials for those sessions where there's a time conflict with another session that I plan to attend?**

**A** Yes! As we are going green this year, the handouts will be available before the meeting online for all annual meeting attendees.

**Q What are Regions?**

**A** Regions are NCURA members grouped by clusters of states. NCURA has seven different regions each of which holds a yearly conference and conducts other activities. Regions provide NCURA members the opportunity to network with other sponsored program administrators closer to home. At the NCURA 50th Annual Meeting, each region will be hosting a regional hospitality suite where you may connect and relax with others in neighboring states. Please visit the Regional Activities page for more information on your Region and regional activities.

**Q What should I wear?**

**A** The dress for the NCURA meeting is traditionally business or business casual. The exception to this is the Sunday dinner, where many members dress up in cocktail/formal wear. This year's Tuesday night event features an exciting theme in honor of our 50th anniversary, "The Golden Age of Hollywood!" We invite members to dress up, if they choose, as their favorite star from that era! It is also advisable to bring casual clothes and walking shoes or sneakers in case you would like to join one of the walking or running groups. The temperature in the rooms may vary, so it is advisable to bring layers.

**Q How can I volunteer for NCURA activities?**

**A** There are a range of ways to get involved in NCURA as a volunteer. The volunteer page on the NCURA website: <http://www.ncura.edu/content/volunteer/> offers an overview of the opportunities—ranging from one-time activities to elected positions. A call for volunteers for the Annual Meeting will be coming to attendees shortly and will be posted on the volunteer section of the annual meeting website. Get involved!

**Q I am an accountant – how do I get CPE credits? What sessions are eligible? What is the total I could get for this meeting?**

**A** CPE slips are available at the NCURA Welcome & CPE desk on the terrace level. You will need to complete these slips for the concurrent sessions that you attend and drop them in the CPE box also located at the Welcome & CPE desk. Your CPE certificates will be tallied after the conference and your certificate will be emailed to you. Please Note: You must turn in your completed CPE slips in order to receive credits. All workshops, Monday, Tuesday, and Wednesday concurrent sessions and the senior discussion forum session on Monday afternoon are eligible for CPE credits. Discussion Groups will not be eligible for CPE Credits. Depending on the sessions and workshops you choose to attend a maximum of 29 CPE credits can be issued for NCURA's 50th Annual Meeting.

**Q I have additional questions. Is there anyone I can contact prior to the annual meeting?**

**A** Yes. Please feel free to contact us!  
See page 14!

# NCURA gives back!

## NCURA Gives Back by Sponsoring Fundraiser at 50th Annual Meeting

### DC's non-profit Reach for College! Selected as Recipient

NCURA's members began a tradition of giving back during the 2001 Annual Meeting. The meeting, held shortly after 9/11, was the start of what the membership does so well -- serving and supporting others. As the Council celebrates its 50th Annual Meeting, the majority of which have been held in Washington, DC, the Annual Meeting Program Committee decided to continue the tradition by helping a local DC non-profit. After a search and vetting process Reach for College! was selected to be the recipient of a fundraiser starring comedian Paul Mecurio on Monday night, November 3rd at the Hilton Washington.

Reach for College! is a non-profit organization working in the metropolitan DC area to help low-income underserved students get to college. Though 88% of low-income students come into high school saying they want to go to college, only 30% end up enrolling from DC schools. Reach for College! works to close this gap by going into the schools and offering a curriculum-based class that students take as part of their regular school day and get credit for. The class, which is given free to the schools, walks students through career exploration, SAT prep, college selection and application, financial aid, and skill-boosting so students will be ready for college.

This past school year they worked with close to 800 students and the 2008-2009 year is expected to double this number. 75% of Reach for College! students go to college and report that the class was significant in helping them know what to expect and be prepared to succeed.

When the selection committee learned that it costs Reach for College! \$165 to support each student who attends its classes -- all of which is funded by individual contributions and grants -- it seemed like a perfect match for NCURA. Plans began immediately to put together a fundraiser on the one free night of the Annual Meeting. A call by NCURA's Executive Director, Kathleen Larmett, to 48th Annual Meeting comedian Paul Mecurio secured his eager participation along with a specially taped message from him which can be seen on the NCURA website. NCURA's Vice President/President-elect, Denise Clark believes, "By supporting Reach for College!, the membership of NCURA is demonstrating its commitment to the university community and its mission of training bright young scientists. By donating to an organization such as this, NCURA members are helping in a small way to strengthen the educational pipeline of tomorrow's researchers."

Upon hearing of their selection Reach for College! Co-directors, Brenda Harvey and Deb Insel were extremely happy. Harvey stated, "What a stellar opportunity! We are deeply appreciative of the NCURA effort to help us to serve more deserving D.C. youth." Insel added, "One of our great needs at this point is to provide more solid outcome data about our students to inform our work as we grow. Since NCURA professionals are deeply involved in supporting research on campuses, it seemed fitting that we would devote the NCURA funds to track our students, to see what we're doing that works best, and to find out ways we can help even more students succeed. So that is exactly what we intend to do with this money. Thank you NCURA!"

Tickets may be purchased on-line through the NCURA Annual Meeting web site or, on-site at the Annual Meeting where Reach for College! will have a booth in the Exhibit Hall and will be represented by Co-directors, Brenda Harvey and Deb Insel, along with various members of their Board of Directors and NCURA staff. Minimum donation for tickets is \$20.00 for the Paul Mecurio show. To learn more about Reach for College! (Featured in the 2007-2008 Catalogue for Philanthropy as "one of the best small charities in the Greater Washington region"), please go to their web site at <http://www.reachforcollege.org/index.htm>



# 2008 Award Winners

## Joseph F. Carrabino Award

The Joseph F. Carrabino Award, established in 2003 by the NCURA Board of Directors, recognizes a Federal partner who has made a significant contribution to research administration, either by a single innovation or by a lifetime of service. NCURA's Nominating and Leadership Development Committee selected **JOANNA ROM**, of the National Science Foundation, as the recipient of the 2008 Joseph Carrabino Award.

Joanna is the Deputy Director within the NSF Office of Budget, Finance and Award Management (BFA). Within BFA, Joanna is actively involved with the management and oversight of the five divisions with responsibility for NSF's key business functions, including financial management, budget development, grant and contract policy and award operations, audit resolution, and strategic planning and performance reporting. Joanna also has a number of duties throughout other areas within NSF including service as Executive Secretary of the National Science Board's Audit and Oversight Committee and membership on the Accountability and Performance Integration Council and its working groups.

Beyond NSF, Joanna is active on several key interagency/university activities. Among these is the Federal Demonstration Partnership (FDP). Joanna is currently on the Executive Committee of the FDP and is Membership Co-Chair as well as founder of the FDP Emerging Research Institution initiative and serves on the Transition Team implementing Phase V of FDP. On her role within the FDP, Richard Seligman, Associate Vice President, California Institute of Technology, states "Federal and university officials working together on the same team is not the norm. This has always been the goal of the FDP and Joanna has devoted considerable effort to making this a reality." Nancy Wray, Director, Office of Sponsored Projects, Dartmouth College, and Chair, Federal Demonstration Partnership, adds "Over the many years of work with the Research Community, Joanna has strived to maintain a collaborative, supportive environment, working with the research community to achieve the best possible outcomes."

Frequently invited to speak at regional, national and international events, Joanna is known for her broad knowledge of NSF operations and policy and interest in continually improving NSF service to its community. She also has written many articles on grants policy and related topics in professional publications. Tom Cooley, Chief Financial Officer and Director, NSF Office of Budget, Finance and Award Management, summarizes "Through her professional conduct Ms. Rom models the value she places on a collaborative federal-university enterprise. Her leadership and advocacy in this regard have ensured that this credo of collaboration is institutionalized throughout the NSF community – truly a contribution that cannot be overstated."

On her award, Joanna says "It's very exciting to be recognized by my colleagues at NCURA. We've been working together for a long time – I attended my first NCURA meeting in 1975 when I was a management intern at NSF! – and have seen many changes and significant growth in the research administration field over the years. Our partnership is critical as we face the challenges and complexities involved in supporting the scientists (and engineers) who are vital to shaping a positive future for the generations to come."

AS RECIPIENT OF THE  
2008 JOSEPH F. CARRABINO AWARD,  
JOANNA WILL BE RECOGNIZED AT THE  
50TH ANNUAL MEETING DURING  
THE PLENARY SESSION  
ON TUESDAY MORNING  
NOVEMBER 4, 2008.

*...It's very exciting to be  
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# 2008 Award Winners

continued

## Outstanding Achievement in Research Administration Award

**CHERYL-LEE HOWARD**, Assistant Provost, University Research Projects Administration, Johns Hopkins University, is the fifteenth recipient of NCURA's award for Outstanding Achievement in Research Administration – NCURA's most prestigious award recognizing significant contributions to the profession of Research Administration, as evidenced in ways such as publications, presentations, teaching, mentoring, and service to one's home institution/organization or outside organizations.

Cheryl has been involved in university administration for more than 38 years – over 30 of which have involved research administration. She is known throughout the research administration community as extremely knowledgeable and a provider of outstanding leadership and service to NCURA, her institution and beyond. Cheryl has served as NCURA Treasurer, President, on the Board of Directors, Executive Committee, Finance and Budget Committee, Nominating and Leadership Development Committee, Professional Development Committee, and Treasurer of both Region I and Region II. She has authored the NCURA Micrograph *The Role of Research Administration* and has spoken at numerous national and regional meetings and conferences.

Cheryl was the recipient of the 2007 Distinguished Service Award and is also involved in the Council on Governmental Relations, the Association of University Technology Managers, and the Federal Demonstration Partnership. Garrett Sanders, Director of Research Compliance, Ordway Research Institute, offers that "Cheryl is a bridge builder: between faculty and central administration, between industry and academe, between government and academe, and is a problem solver." He further adds, "I am particularly impressed with Cheryl's attentiveness to growing and mentoring research administration staff, many of whom have gone on to leadership positions both at JHU and at institutions around the country."

One of Cheryl's contributions to NCURA, and to the field, is her involvement and leadership during NCURA's strategic planning and governance redesign initiatives in the late '90s which set the stage for NCURA's future as "the preeminent national organization in the delivery of formational and continuing education and quality support services to professionals in research administration and higher education" as noted by Bob Killoren, Associate Vice President for Research and Executive Director of the Research Foundation, Ohio State University, and recipient of the 2007 Outstanding Achievement in Research Administration Award.

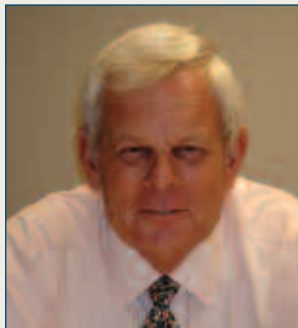
On her award, Cheryl reflects "I'm actually one of those lucky people whose career has been so much fun that I almost feel guilty accepting this award. Much of what I have accomplished throughout my career has been in bits and pieces as part of a team effort. Without organizations like NCURA or the friends and colleagues who have taught me and with whom I have learned over the years, this wonderful surprise could never have happened. Thank you all."

THE AWARD FOR  
OUTSTANDING ACHIEVEMENT  
IN RESEARCH ADMINISTRATION

WILL BE PRESENTED ON  
MONDAY MORNING, NOVEMBER 3, 2008,  
AT THE 50TH ANNUAL MEETING  
KEYNOTE ADDRESS.

*...Without organizations like NCURA or the friends and colleagues who have taught me and with whom I have learned over the years, this wonderful surprise could never have happened....*





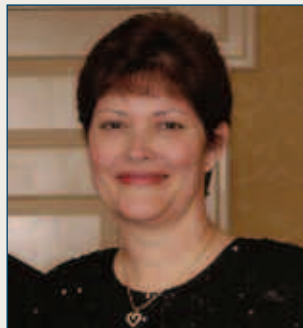
Vincent "Bo" Bogdanski



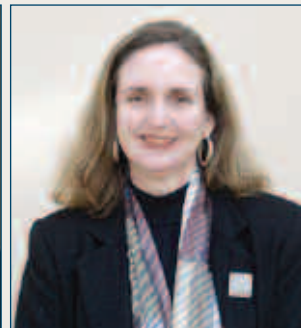
F. John Case



Allen "Al" Soltow



Laura Wade



Denise Wallen

## NCURA 2008 Distinguished Service Awardees

This year the NCURA Nominating and Leadership Development Committee selected five long-time NCURA members to receive the Distinguished Service Award. This award recognized members who have made sustained and distinctive contributions to the organization.

2008 Award recipients are:

**VINCENT "BO" BOGDANSKI**, Assistant Director of the Office Sponsored Programs, Colorado State University. Bo has served on the Annual Meeting Program Committee and this year he co-chaired the PRA III Program Committee. He has presented at many regional and national meetings, taught numerous regional and national workshops, and has authored several articles for the NCURA Magazine. In addition, in 2001 and 2002 Bo served as faculty for the traveling NCURA/UNCF Fundamentals Workshop, and currently serves as faculty for the Federal Contracting Online Tutorial. Bo also has served NCURA through his membership on the Board of Directors and the Professional Development Committee and has volunteered as a Leadership Development Institute (LDI) Advisor. In 2000, Bo was a member of the Committee on Communications and Member Services and served on the regional Travel Award Committee and Regional Conference Program Committee.

**F. JOHN CASE**, Vice President for Finance and Administrative Chief Financial Officer, University of Akron. John has served as NCURA's President (2002) and NCURA Treasurer (2000). John has chaired the Financial Management Committee and the Professional Development Committee and has served on the Board of Directors. In addition, he has served on the regional Travel Award Committee, the Outstanding Achievement in Research Administration Award Committee and the Ad Hoc Committee on Professional Development. John served on the FRA V Conference Program Committee, co-chaired the FRA VII Conference Program Committee, and has served on prior Annual Meeting Program Committees. He also has served as faculty for the Sponsored Project Administration II workshops, Fundamentals of Sponsored Project Administration workshops, and NCURA TV. John is author of NCURA's "Facilities and Administrative Costs in Higher Education" and has contributed articles to the NCURA Magazine. He has volunteered as an LDI Advisor and has presented at many national and regional meetings.

**ALLEN "AL" SOLTOW**, Vice President for Research, University of Tulsa. Al has served on the Board of Directors and the Nominating Committee and has volunteered as an LDI Advisor. He has assisted in program development at both regional and national levels. Al continues to be a strong advocate for NCURA as shown through his mentoring and his encouragement of others to become more involved in NCURA.

**LAURA WADE**, Associate Director, Research Center Administration, University of Houston – Texas Center for Superconductivity. Laura has served as NCURA's President (2006) and Treasurer (2003). She has chaired the Financial Management Committee, served on the Board of Directors and has volunteered as an LDI Advisor. Within her region, Laura has served as regional Chair and also as Secretary/Treasurer. Laura has been a member of both regional and national program committees, has served as faculty for NCURA TV and currently serves as faculty for the Financial Research Administration workshops. Her regional committee service includes service on the Finance Management Committee, Ad Hoc Awards Development Committee, Ad Hoc Bylaws Review Committee, Travel Scholarship Committee, and Awards Committee. Laura is a frequent presenter at both national and regional meetings, and she has been an NCURA Magazine contributor. Laura was the recipient of the 2007 Region V Distinguished Service Award and currently serves on the NCURA 50th Anniversary Task Force.

**DENISE WALLEN**, Director, Research Development Services, University of New Mexico. Denise is a former NCURA Board member and LDI Advisor. She has served as a member of the Professional Development Committee and currently is Vice Chair of the PDC. Denise also has served as Chair of Region VII and as Executive Committee Member At Large. Denise served on the 49th Annual Meeting Program Committee and served as a member of the International Research Administrator Neighborhood Committee. She has presented at numerous regional and national conferences and last year participated as a panelist at the EARMA meeting in Warsaw, Poland presenting on the topic of International Research Collaboration. This year at the EARMA Conference in Barcelona, Spain, she led a panel at on the Role of Research Managers in Enabling Complex/Strategic Research Programs. Denise also is co-author of a chapter within the NCURA publication *Sponsored Research Administration: A Guide to Effective Strategies and Recommended Practices*.

Each recipient has made a great contribution to NCURA in countless ways over the years. This is a summary of their service as their contributions are too great to list.

THE DISTINGUISHED SERVICE AWARDEES WILL BE  
RECOGNIZED AT THE 50<sup>TH</sup> ANNUAL MEETING DURING  
THE PLENARY SESSION ON  
TUESDAY MORNING, NOVEMBER 4, 2008.

## by Craig Reynolds and Ailing Zhang

— Bob Dylan

While today's leadership literature mainly focuses on how to get others to follow, we have identified four themes necessary for leading from within the middle of the institution's organization chart:

- The practices embodied in the first three themes help establish the trust and mutual appreciation for the abilities of employee and supervisor alike that enable a collaborative, powerful relationship with your supervisor. The fourth theme is the culmination of effective upward leadership, wherein you as a “follower” help your supervisor promote and protect the mission of the organization. Note, however, that upward leadership is not about usurping the prerogatives of your supervisor. As Michael Useem states in his book *Leading Up: How to Lead Your Boss So You Both Win*, it is “about the effective exercise of power for the greater good... The challenge is to help both those below us and those above us achieve what we all want accomplished.”

A prerequisite to upward leadership is demonstrating to your supervisor that you add value to the organization. In *The Power of Followership*, Robert Kelley asserts that adding value “goes beyond doing a good job. It means making a positive difference in accelerating the organization toward its goals.” Kelley further notes that exemplary followers “do a great job on critical path activities related to the goal.” It is only after you have proven your skills to your supervisor that she can begin to have sufficient confidence in your abilities and judgment to trust your upward leadership initiatives.

Michael Useem likewise suggests a number of behaviors likely to win the boss's confidence. Noteworthy among them are making risky decisions quickly and accurately and not deferring them to others.

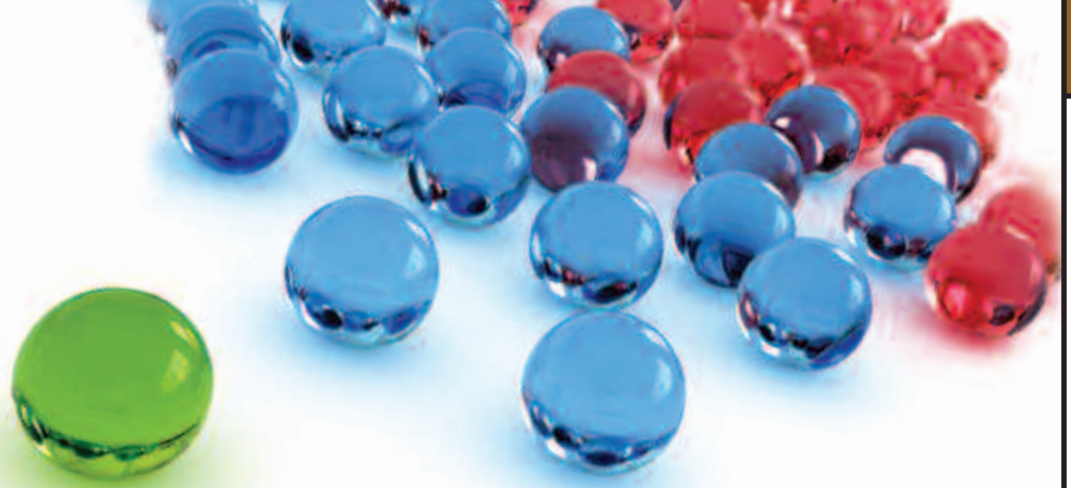
A second theme is that of self-motivation, which leads to a supervisor's openness to subordinates' leadership overtures. As Useem observes: "A bias for action is what your boss wants. Show initiative and you'll lay the foundation for confidence and support from above." Barbara Kellerman, in her book *Followership*, echoes the sentiment: "Followers who do something are nearly always preferred [by supervisors] to followers who do nothing."

You should first, however, consider what motivates your performance, knowing that service to others is highly valued in the culture of research administration. What motivates your behavior may help determine how well your upward leadership is received. Consider Robert Greenleaf's 1970 essay *The Servant as Leader*, which illuminates how service and leadership can be conjoined:

The servant-leader is servant first... It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. That person is sharply different from one who is leader first... The difference manifests itself in the care taken by the servant-first to make sure that other people's highest priority needs are being served.

We contend that research administrators driven by an ethic of service will find leading upward easier, as they are motivated less from self-interest than from a desire to see others succeed. Such motivation will be evident to your supervisor.

Kelley suggests you demonstrate self-motivation by independently developing your expertise and skills, and by increasing your field of view beyond your job description to encompass problems and opportunities vital to the welfare of the organization. Similarly, Bossidy rewards employees who encourage their own growth by soliciting feedback and accepting difficult assignments. He also looks for subordinates who know when to get involved (e.g., when others fall behind or when there is a crisis). Finally, Bossidy takes a willingness to lead new initiatives as a strong sign of self-motivation.



## Creating Clear and Open Communication Channels

A third key to upward leadership is establishing effective communication channels. Useem points out that poor communication not only damages your supervisor's trust in you but makes your own job more difficult. He further provides several tips for effective communication, perhaps the most important of which is to recognize there is no substitute for face-to-face discussion. Lost in the world of electronic communication is the opportunity to work with your supervisor in a way that develops a strong interpersonal relationship, affords mutual exploration of important issues in all their subtlety and complexity, and demonstrates your potential as a reliable resource for leadership initiatives.

Maintaining open communication links across the organization via informal networks and participation on team projects is another significant aspect of upward leadership, as Kelley suggests. Your efforts in maintaining these linkages send a message to your supervisor that you are a team player concerned for the interests of the entire organization. Bossidy similarly requires his employees to be willing to collaborate, especially when the costs may be personally high but outweighed by the potential positive outcomes for the organization. The end result is a demonstration of commitment to your employer and not to your personal agenda.

## Striving for Organizational Excellence and Integrity

Striving for organizational excellence and integrity is what most of us traditionally think of as upward leadership. Upward leaders focus on gaining the support of senior management to help the organization improve its performance, avoid unnecessary risk, and operate with integrity.

Kelley emphasizes that upward leaders serve two complementary roles with respect to their boss: (1) collaborating willingly and effectively, and (2) thinking independently. When vital issues are at stake, upward leaders will "openly and unapologetically disagree." Remember; the goal here is to help your supervisor act in the best interests of the organization. Of course, doing so requires you know what is in the best interest of the organization! We suggest that you speak candidly with your supervisor about the goals of your unit and how they comport with the overall mission of the university. Find out how your boss sees these goals and the university's mission being translated into action. Commit yourself to those goals and align your own activity accordingly.

Once comfortable with your understanding of the organization's direction, heed Useem's advice to "fully analyze and develop your plans, and then carefully communicate the need and feasibility of the plan to your supervisor." Being able to discuss your plans or concerns in light of unit goals will go a long way toward gaining early acceptance. Also consider your supervisor's managerial style and communication preferences when making a pitch (c.f. Moreland and Wessel's article "Communicating with the Boss: Efficiency in the Land of Overwork" from the Dec. 2006/Jan. 2007 NCURA Newsletter).

The upward leader will also take into account the needs of his boss for timely and accurate information and convey that information in the most suitable format. In their January 2005 Harvard Business Review article, "Managing Your Boss," John Gabarro and John Kotter point out that the effective subordinate will have a clear understanding of his boss's performance expectations, needs for information, and the frequency with which the boss wants this information delivered.

Since you are probably nearer the ground floor activity of your unit than your supervisor, you should be quick to identify that which may impact your unit. As suggested by Useem, when you become aware of a unique, high-payoff opportunity, "be persistent in your pursuit of the opportunity and consistent in your efforts to make those above you understand its uniqueness." Conversely, when the risks to the organization are extraordinary, you must make them known. If your supervisor does not appreciate the gravity of the situation, "you may find it essential to transcend the normal channels of communication to drive home a message." (Be prepared, however, to face the repercussions! Just keep the good of the organization foremost in your mind and hope the positive working relationship you have cultivated with your supervisor will temper any reprisals.)

## Conclusion

Regardless of whether dealing with challenges or opportunities, an upward leader will be, as Bossidy writes, "a player for all seasons." Upward leadership requires you continually to exhibit the positive behaviors described throughout this article. It is easy to be an effective upward leader when everything is running smoothly. It's when trouble is brewing that you show your true worth. And it is then that your supervisor can say her receptiveness to your upward leadership was well placed indeed.

Acknowledgement: The authors would like to thank their NCURA Leadership Development Institute colleagues for their ideas, suggestions, and edits regarding this article and for their continual support throughout the year.

Craig Reynolds serves as Research and Program Officer at Central Michigan University and Aling Zhang is a Grants Specialist at Morgan State University.

*By Bob Beattie*

So as Grants.gov starts its 6th year of operation, I thought we might like to hear what its staff has to say about recent and near future developments. They will be at the Annual Meeting to discuss these and other topics in as much detail as we users want. I will also have a session there to evaluate how the Adobe Forms are meeting our needs and what needs to be improved. Hope to see many of you in Washington.



# Today and Tomorrow

successful. Detailed information and instructions were created and posted on the website to help applicants verify that their applications were received by Grants.gov. Grantor agencies and applicants were also notified via listserv about the issue as soon as it was recognized. The "Broken Pipe" and similar system issues are followed by rigorous analysis and investigation of system functionality, by the Grants.gov system integrator (SI) and Adobe, until the issue is resolved.

The Grants.gov Program Management Office (PMO) is constantly working to identify possible system enhancements and updates that will fix system issues and also add new benefits for the grant community. At the moment the Grants.gov PMO and SI are taking a phased approach to updating the system servers and software by repurposing hardware to upgrade support environments. During a series of four phases, Grants.gov will establish new environment server architecture. Upgrading the system will improve submission speed, prevent stalled submissions and allow for future expansion of the system.

## New Features and Enhancements

Grants.gov has developed a maintenance and enhancement schedule to implement features requested by users and further improve the existing system. On August 9, 2008, Grants.gov completed "System Build 2008-02," which enhanced existing functionality and introduced new features to improve the user experience. This was the second build for the Adobe system in fiscal year 2008. The most significant applicant enhancements of the system build was the addition of a Google search feature and a new/modified grant opportunity RSS feed. The new Google search functionality assists the grant community by enabling a keyword search for content posted on the site, not just for opportunities, as was the case before the system build. There are two Grants.gov RSS feeds, one sorted by grantor agency and the other by grant category. The RSS feed logo is visible in the upper right hand corner of any page of the website. Detailed instructions for subscribing to the RSS feeds has also been posted to the RSS feed page of the website. The system build also enhanced existing features on Grants.gov. To read more about the new applicant features and enhancements added to the website visit: <http://www.grants.gov/assets/SystemEnhancements2008-02A.pdf>

## Applicant System-to-System Enhancements

The applicant system-to-system interface was also improved during the system build. Applicant system-to-system web services are constantly evaluated to optimize performance and usability. Grants.gov encourages the use of a system-to-system (S2S) interface for organizations and institutions with a large volume of application submissions. The overall objective for applicant system-to-system usage is to make it as easy as possible, and for this reason a full web services interface with reference implementation or "S2S in a box" was created during the system build and is currently available on the website at the following URL: [http://www.grants.gov/applicant\\_s2s/applicant\\_system\\_to\\_system.jsp](http://www.grants.gov/applicant_s2s/applicant_system_to_system.jsp). To improve the applicant S2S search feature it was made case neutral as part of the system build, to increase its usability. Before

the system build, the applicant S2S grant opportunity search was case sensitive, which made using the search feature less intuitive. Now, no matter what letter case combination is used to search for an opportunity, the opportunity will appear in the search results. Before the search was made case neutral, applicant S2S users had to enter the exact letter case combination or no search results would be returned, giving the erroneous impression that the opportunity did not exist.

As a result of the system build, sorting and searching grant application submissions has also been made easier. The basic and advanced search capabilities of applicant system-to-system interfaces have been enhanced to allow users to filter their search results by a Grants.gov tracking number. In addition to searching for application packages by their Opportunity ID, CFDA number and status, S2S applicants will also be able to find their submissions by the specific tracking number assigned to the packages. This new feature will allow users to go directly to the application packages for which they are searching without mining through multiple listings. To create consistent grant opportunity listings and offer all pertinent information, grantor contact information has been added to all of the S2S opportunity postings. This new system build enhancement will ensure that applicant S2S users will be able to contact the offering agency with questions pertaining to the specific grant opportunity.

All new applicant S2S enhancements are compatible with the existing system configuration but are not required for continued use of the system. Applicant S2S users who are satisfied with their current system configuration may continue to use their existing code. All applicant S2S users need to do to use the new features and benefit from system enhancements of "System Build 2008-02," is open the reference implementation zip file or "S2S in a Box" and follow instructions in the set-up guide, which includes everything needed to use the new S2S web services interface. The reference implementation is currently available on the Applicant System-to-System page: [http://www.grants.gov/applicant\\_s2s/applicant\\_system\\_to\\_system.jsp](http://www.grants.gov/applicant_s2s/applicant_system_to_system.jsp). To learn about all of the Applicant S2S enhancements see: <http://www.grants.gov/assets/SystemEnhancements2008-02AS2S.pdf>.

Future system expansion and continued program growth are important objectives for Grants.gov. For this reason, Grants.gov is considering new technology for a future system architecture. Over the past several months, Grants.gov has performed an extensive analysis of current system functionality. The system which was created in 2002. By continuing to improve the system over the years, Grants.gov has managed to keep up with the growth in applicant submissions. Looking to the future Grants.gov will continue to analyze the best commercial practices to suit the needs of the grant community.

Grants.gov continues to evolve and adjust to the needs of applicants to make accessing grant funding an easy and rewarding experience. Grants.gov will continue to streamline and simplify the federal grant application process. From its modest beginning to a now extensively used grant portal, Grants.gov continues to push forward for the grant community!

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This article was written as a team effort by the Grants.gov staff. The Program Manager is Eben Trevino. Michael Pellegrino is the Outreach Director.

## What's happening in YOUR Region?



Greetings, Region I:

It's hard to believe that it's been four months since our Spring Meeting in beautiful Brewster, MA on Cape Cod. The days are getting shorter; the students have returned to campus, and the NCURA Annual Meeting is closing in! Can winter be far behind? Actually, it was another fabulous New England summer during which Region I members and leadership were kept very busy.

On July 23rd, a Research Administrators Discussion Group (RADG) meeting on the topic of "The Hidden Costs of Compliance" was attended by more than 100 individuals. Our sincere thanks go out to the excellent tag team of presenters - Barbara Cevalos from PricewaterhouseCoopers and Deloris Pettis from Harvard University - for their excellent insights into the many elements of compliance required by sponsoring agencies and the challenges our members face. Attendees were then engaged in a dialog about how we can best work with sponsors to ensure we meet all compliance expectations while addressing and economizing the ever-increasing institutional costs of compliance.

The RADG meetings continue to be a great way to stay on top of current issues in research administration in addition to serving as a networking opportunity within our region. The dates for the next two RADG meetings are:

- Thursday, October 23
- Wednesday, December 10

Please visit the Region I home page under Meetings for additional information.

As always, we continue to look for good session topics and for discussion leaders. If you are interested, or want to suggest a topic, please contact me.

Summer also means elections in Region I. This year, we had a terrific slate of candidates for the positions of Chair Elect and Secretary. The winners were Susan Cassidy Zipkin of Brigham and Women's Hospital and Sara Clabby from Northeastern University, respectively. Congratulations to these individuals and to all of the candidates who ran for these important positions!

The Region I Curriculum Committee, chaired by Bethanne Giehl from the University of Massachusetts Medical School, continues to develop excellent programming choices for our members. In addition to our one-day, regional Essentials of Research Administration workshop, an advanced topics workshop is being developed for fall implementation. The tentative workshop faculty

are Pat Fitzgerald from Harvard University, Tammy Raccio from Yale University, and Franc Lemire from Worcester Polytechnic Institute.

The Region I Site Committee, which included Chair Christine Bothe from Dartmouth College, Lee Picard from Brandeis University, and Barbara Richard from Harvard Pilgrim Health Care, did a wonderful job of identifying the site for the 2009 Region I Spring Meeting. Next year's event will be held at the Grand Summit Resort Hotel & Conference Center on beautiful Mount Snow in Vermont from Sunday May 3rd through Wednesday May 6th, 2009. Selection of Program Committee members is now underway as we look forward to visiting this unique venue and enjoying another successful Spring Meeting.

Planning is well underway for Region I's activities in connection with the NCURA 50th Annual Meeting in November. In addition to the excellent work of our Historical Committee, headed up by Ben Prince from Meyers Primary Care Institute, the Monday night Coffee House will return with an encore performance by Region I's own band, the Grateful Deadlines.

I look forward to seeing you at the NCURA 50th Annual Meeting and next RADG meeting!

A special thanks to Franc Lemire, Region I Chair-Elect, Director, Research Administration, Worcester Polytechnic Institute who assisted on this article!

Tom Egan is Chair of Region I and serves as the Assistant Director, Massachusetts Institute of Technology.



## REGION II Mid-Atlantic

[www.ncuraregionii.org](http://www.ncuraregionii.org)

Dear Region II Members,

It's hard for me to believe the summer has ended.  
As Maxwell Anderson's lyrics to Kurt Weill's  
September Song say, "Oh, it's a long, long while from May to  
December/But the days grow short when you reach  
September/When the autumn weather turns the leaves to  
flame/One hasn't got time for the waiting game/Oh, the days  
dwindle down to a precious few/September, November."

As those long sunny days dwindle and November approaches, our thoughts are on the Presidential election, but do remember that we are also holding our election for 2009 Regional Officers. This year we are electing a Chair Elect, Treasurer Elect, and Member of the National Board of Directors. ➤



## The COEUS® Consortium

MIT, having achieved remarkable success developing a comprehensive research administration system with a large user base and influence over Federal eRA policy, in fiscal year 2006, invited other universities to join the Coeus Consortium which enables long-term sustainability as a shared resource for the Coeus product. The Coeus Steering Committee is comprised of the top ranked research institutions in the United States. The Steering Committee determines future development and enhancements to the Coeus software system and manages the ongoing development of the system. Fee based membership levels include Basic, Development, Steering and Industry. The Consortium is recognized as a significant voice in long range planning discussions regarding the future direction of Federal electronic research administration.

## COEUS® Facts & Figures

- The COEUS® Consortium is made up of 38 member institutions who are among the top 500 research institutions in the United States based on award and expenditure data from the National Science Foundation and the National Institutes of Health.
- COEUS® was selected by Grants.gov to be the first grant management application to partner with the Federal development team on a system-to-system (S2S) interface.
- COEUS® Consortium members spent nearly \$10 billion in Research and Development in federal fiscal year 2004.
- COEUS® Consortium members received over \$3.5 billion in National Institutes of Health awards in 2005.

### COEUS® Consortium

Stephen Dowdy, Program Director

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## Regional Corner

We have an excellent slate of candidates:

► **Chair-Elect**

Joseph Sullivan, Carnegie Mellon University  
Martin Williams, William Patterson University of New Jersey

► **Treasurer-Elect**

Holly Benze, Johns Hopkins University  
Chris Schlenker, Marshall University Research Corporation

► **National Board of Directors Member**

Brenda Kavanaugh, University of Rochester  
Brian Squilla, University of Pennsylvania.

Please visit our Web site at <http://ncuraregioniii.org> for information on the candidates. Your voice counts – please take a few moments to vote, if you haven't already.

Dwindling, too, are the days until the 50th Annual Meeting. We're now finalizing our preparations for Region II's activities at the Meeting. I hope everyone will plan to join us in the hospitality suite for networking, unwinding, fun, and fundraising. We're going to hold the first phase of our fundraiser in our hospitality suite at the Annual Meeting; we'll be accepting donations of items (tangible and intangible) to be auctioned at our silent auction, benefitting the American Cancer Society. The auction itself will take place in the hospitality suite at our Spring Meeting in Annapolis, Maryland. Stay tuned for details and we'll see you in the hospitality suite at the 50th Annual Meeting. The "accepting donations" part of the auction will be as much fun as the auction itself, so don't miss it.

We also hope you'll join us for our Regional Business Meeting at the 50th Annual Meeting. The Business Meeting will be held Tuesday, November 4 at 11:40 am. We'll report on recent activities, including the September Leadership Convention; announce the results of the election and introduce you to your new officers; update you on plans for the 2009 Spring Meeting; and discuss the 2010 Spring Meeting.

Speaking of Spring Meetings, the 2009 Spring Meeting Program Committee has formed and is working on a best-ever meeting. Plan to join us from April 26-28 at the beautiful Loews Hotel Annapolis. Picturesque Annapolis, "America's Sailing Capital" and home to the U.S. Naval Academy, is a good time year-round, but is especially delightful in April. We know you'll enjoy the atmosphere and scenery as well as the meeting itself – the hotel's Web site (<http://www.loewshotels.com/en/Hotels/Annapolis-Hotel/Overview.aspx>) will give you a good idea of the "Annapolis Scene."

We are, as always, looking for volunteers to help with Regional activities, including the Spring Meeting. If you're interested in serving on the Program Committee, have suggestions for sessions you'd like to see presented at the meeting, or would like to volunteer in any other way, please contact Alex McKeown, our Volunteer Coordinator, ([amckeown@jhsph.edu](mailto:amckeown@jhsph.edu)), or any of the officers. Volunteering need not take a great deal of time; there are many volunteer opportunities that are huge contributions to the Region but involve limited time commitments.

See you at the 50th Annual Meeting in November!

Mary Louise Healy is Chair of Region II and serves as Assistant Vice President for Research at Towson University.



## REGION III

### ► Southeast

[www.ncuraregioniii.com](http://www.ncuraregioniii.com)

As the summer winds down, Region III is already turning its attention to the NCURA 50th Annual Meeting, which will be held November 2-5, 2008 in Washington, D.C.

As Region III looks forward to the annual meeting, we have also been looking back at our own history. Regional Chair Tony Ventimiglia (Auburn University) and others have been sifting through over 25 years of membership data to compile information on past meetings, officers, and other items of interest. Many thanks to all those who have contributed toward this! A tri-board highlighting these findings will be on display at the annual meeting during the Saturday night networking event and in the hospitality suite for the remainder of the weekend. Tony has dug up both the serious and funny side of the region. He is also collecting pictures from the past to include in the display. You can review what has been assembled so far by checking on the Region III website. Comments, suggestions, and especially pictures are welcome – if you have anything to share, please contact Tony at [ventiaf@auburn.edu](mailto:ventiaf@auburn.edu).

The schedule of events for the Annual Meeting hospitality suite has been finalized and can be found on the Region III website. Thanks to Lajauna Ellis (Georgia Institute of Technology) and her committee for putting this together!

As always there are plenty of volunteer opportunities in D.C. The Region III website has information on these opportunities. Many involve only a small time commitment. Everyone is welcome! If you're interested please contact Rick Smiley (Eastern Carolina University) at [smileyr@ecu.edu](mailto:smileyr@ecu.edu).

The Region III fundraiser, originally scheduled for November as discussed at our last business meeting, will be postponed until our next regional meeting in spring 2009. This change will allow us to focus on the national fundraiser at the annual meeting.

Region III congratulates Michael Sebastino (Virginia Military Academy) on winning the Travel Award for the NCURA Annual Meeting. Michael, we look forward to seeing you in D.C. in November! Thanks to Lori Brown (University of Central Florida) and her committee for a job well done.

Looking ahead: The Region III spring meeting is scheduled for May 3-6, 2009 in Panama City, Florida at Marriot Bay Point Resort. Jill Tincher (University of Miami) and the program committee for the meeting are hard at work putting together a terrific line-up of workshops, sessions and discussion groups. Hope to see you there!

Laura Letbetter and Sam Gannon serve as Region III's Magazine team. Laura is the Director of Proposal Development for the Office of Sponsored Programs at Kennesaw State University. Sam Gannon is the Education and Training Manager for the Office of Grants and Contracts Management at Vanderbilt University Medical Center.



### REGION IV

► Mid-America

[www.ncuraregioniv.com](http://www.ncuraregioniv.com)

By now you have seen the ambitious agenda for the upcoming 50th Annual Meeting. If you are new to the National Meeting be sure to attend the New Member Orientation at 3:00 on Sunday November 2.

Although the sessions will keep you plenty busy, there are some regional activities that promise to be fun.

The main celebration Tuesday evening will be in the style of the Golden Age of Hollywood. For those of you who are up for it please join your colleagues in Region IV as we make our grand entrance via the "yellow brick road" as a toast to the most magical of all Hollywood films, *The Wizard of Oz*. All Cowardly Lions, Tin Men (and Women), Scarecrows, Toto's, Dorothy's, Good Witches, Wicked Witches, Wizards, and Auntie Em's, don your glass slippers, we're sure to have a great time!

Also this year the Regions have been encouraged to "give back" by raising money for a charity of our choice. This year Region IV has chosen to raise funds for the Red Cross Midwest Flood Relief and the Veteran's Administration. You will have the opportunity to donate in our Hospitality Suite each evening.

Sue Keehn is the Chair of Region IV and serves as the Director, Institutional Review Board, University of Illinois at Urbana-Champaign.



### REGION V

► Southwestern

[www.ncuraregionv.com](http://www.ncuraregionv.com)

I hope everyone had a great summer and that you had a chance to rest and relax before gearing up for the fall semester.

I would like to welcome all the new members from Region V who have joined NCURA this past year (78 since January!) and encourage you to attend the 50th Annual Meeting to be held in Washington, D.C. November 2-5. If this is your first NCURA meeting, we invite you to attend the New Member Orientation session offered on Sunday. We also hope to see everyone at the Region V business meeting on Tuesday morning. Don't forget to stop by the Region V hospitality suite – it's a great place to network, see old friends, and make new ones!

The executive committee is continuing its quest to find historical information on the Region's history. If you have any old Region V programs or any other information, please contact Matt Berry at [mberry@ou.edu](mailto:mberry@ou.edu). We would like to include as much information as possible for the display at the annual meeting.

If you are a new member, or maybe you haven't checked it out recently, the Region V website ([www.ncuraregionv.com](http://www.ncuraregionv.com)) has information about the regional officers/ committees, bylaws, strategic plan, scholarships, reports, pictures and presentations from the last regional meeting, helpful links, and other announcements. The

homepage has a link to the 50th Annual Meeting and a link to Region V activities at the meeting, such as a reception to honor award recipients from Region V. Keep checking the link for the latest updates!

Speaking of award recipients, please join me in congratulating the following individuals who received awards:

- Laura Wade, University of Houston, Texas Center for Superconductivity; and Al Soltow, University of Tulsa, who are two of the five recipients of the 2008 NCURA Distinguished Service Award;
- Barbara Reyes, University of Texas at Austin, who received one of the four Catherine Core Minority Travel Awards; and
- Deborah Herr, Carl Albert State College, who received the first-ever Region V Quinten S. Matthews Travel Award to help defray costs of attending the annual meeting.

Join me also in congratulating:

- Cheryl Anderson, UT Southwestern Medical Center at Dallas, who was selected to be a member of the Leadership Development Institute class of 2009;
- Michael Mathisen, Baylor Research Institute, who was appointed to the National Finance Committee; and,
- Carolyn Ivey, who is now Director, Office of Sponsored Programs, University of Houston-Downtown.

I would also like to welcome James Casey, now with University of Texas at San Antonio, to Region V. James is Co-editor, NCURA Magazine; Chair, International Neighborhood Subcommittee; and Member, International Commission. Welcome, James!

If you know of anyone who has been promoted, changed jobs, or has a noteworthy accomplishment, please email me at [kay.ellis@austin.utexas.edu](mailto:kay.ellis@austin.utexas.edu).

Planning is underway for the Region V spring meeting to be held in San Antonio, April 26-29, at the Westin Hotel on the Riverwalk. If you have an idea for a session or would like to be a presenter, contact Vice-Chair Gail Davis at [nancy.davis@lamaredu.edu](mailto:nancy.davis@lamaredu.edu). If you would like to volunteer at the meeting or have questions about volunteer opportunities, contact Volunteer Coordinator Joanne Palmer at [jp57@txstate.edu](mailto:jp57@txstate.edu).

We are still looking for ideas for the "NCURA Gives Back" fundraiser at the spring meeting. Please contact me at [kay.ellis@austin.utexas.edu](mailto:kay.ellis@austin.utexas.edu) – any and all ideas are welcome.

I hope to see you at the 50th Annual Meeting – don't forget to check the Region V website for meeting updates!

Kay Ellis is the Chair of Region V and serves as Associate Director, Export Controls Officer, Office of Sponsored Projects at the University of Texas at Austin.



### REGION VI ► Western

[www.ogrd.wsu.edu/r6ncura](http://www.ogrd.wsu.edu/r6ncura)

Every four years, I spend two weeks of the summer in sheer awe of the accomplishments of the world's greatest athletes. This year was no different, except that I've added Region VI volunteers to the list of individuals who have achieved Olympian-like feats. To each and every person who has volunteered throughout ►





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"Engaging", "Energetic", "Accessible", "Enthusiastic", "Dynamic",  
"Interactive" "Encouraging" ...these are just some of the comments  
from the community on our speakers and their experience at PRA III!

The PRA III conference, held August 11-13 in Hilton Head, SC gave over 350 attendees and presenters three invaluable days to network and learn from each other. The third PRA III conference offered an expanded number of sessions, tracks and program levels that drew the perfect blend of those new to the research administration field, those in the field for several years and our most experienced members of the profession.

We kicked off our conference with 6 workshops and senior level seminars that were attended by almost half of our attendees. Ranging from Boot camps to Senior Level Seminars, this day allowed an opportunity for in-depth discussion and analysis of timely topics.

On Monday evening, the PRA III community gathered beach front for a networking reception to spend time with colleagues. Our Tuesday morning keynote speaker, Dr. Charles Liotta, Georgia Tech, also joined us for the opening reception and enjoyed the opportunity to spend time with us in preparation for his well received opening keynote, Research in Sustainability and Sustainability in Research.

*See pages 30-31 for a photo  
review of PRA III!*

With more 60 minute session time slots woven through the conference, and the addition of a federal track of sessions, participants enjoyed being able to attend more offerings on a wide array of topics. With this size conference, attendees had the opportunity to ask all of the questions they wanted to. Many sessions had a follow up discussion group in the next time slot which was the perfect way to really expand on a topic, and hear the first hand experiences and examples that bring the policies and the procedures we have at our institutions to life. The case studies in the compliance and contracts track, the generous participation of our federal partners and institutional faculty, and the tools shared in the eRA track are just some of the highlights of the over 70 offerings during PRA III.

Research focuses on the world of possibility and tomorrow, so this was the perfect time for NCURA to spend some time thinking about sustainability in the execution of our meeting! We had reusable water bottles, increased recycling efforts, and abbreviated rosters and onsite programs with full versions available in advance on the web. Our handouts were also on line this year and we had a great response to this from the community. In addition to the appreciation of all the natural resources being saved from the mass printing of handouts, participants commented that the ability to go on-line before the meeting, and review all the handouts, helped them make their final decisions on what sessions to attend. In addition, reviewing and reading this material in advance of coming to the conference, helped frame their thoughts and questions and really maximized their time with their colleagues.

Thanks to the Chairs, Vincent A. "Bo" Bogdanski, Colorado State University and Jan L. Madole, University of Montana, their entire committee, and to all who participated for a great experience!



CO-CHAIRS:

Jan L. Madole  
*University of Montana*

Terry A. May  
Michigan State University

DEPARTMENTAL TRACK  
Lajauna Ellis  
Georgia Institute of Technology

Lisa Gentry  
*University of Arizona*

Elsa Everling  
SunGard Higher Education

John Massa  
University of Iowa

Diane Barrett  
*University of Wisconsin-Madison*

Melinda Nelson  
*NIAMS, National Institutes of Health*

Frances Jeffries  
Wheaton College

Charles E. Patterson  
*Georgia Southern University*

Jilda D. Garton  
Georgia Institute of Technology  
Anne S. Geronimo  
University of Maryland College Park

Erica H. Kropp  
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Environmental Science

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# MILESTONES

Have you or any of your colleagues made a career move? Please contact NCURA so our entire membership can help celebrate the change!

CAROLYN IVEY is now with the University of Houston-Downtown as Director of the Office of Sponsored Programs.

JOHN CARFORA joined Loyola Marymount University as Executive Director of the Sponsored Projects Office effective September 2, 2008.

JOSEPH MCNICHOLAS has been promoted to Director of Pre-Award Services and Associate Director of the Sponsored Projects Office at Loyola Marymount University effective September 1, 2008.

SONJA W. ROBINSON became Director of Sponsored Programs at Jackson State University on July 1, 2008.

WINIFRED ANN SCHUMI retired as Assistant Vice President for Research at the University of Minnesota in August 2007 and took a position July 2008 as a Director with Huron Consulting Group's Higher Education Practice.

BARBARA E. SIEGEL has joined Huron Consulting Group as a Director in the Higher Education Practice following her tenure at Whitehead Institute as Vice President for Operations and Director, Office of Sponsored Programs.

LYNETTE ARIAS is now the Associate Vice President, Sponsored Projects Administration at Columbia University.

JERRY G. FIFE has been promoted to Associate Vice Chancellor for Business Services and Research Finance at Vanderbilt University.



## CONGRATULATIONS!

**Program and registration information for NCURA TV's  
12th year of broadcasting is coming soon!**



NCURA's September 2008 program on Customer Service with: Kim Moreland, *University of Wisconsin-Madison*; Kathleen Larmett, *NCURA Executive Director*; Steve Hansen, *Southern Illinois University at Edwardsville*; Dave Richardson, *Pennsylvania State University*; and, Cindy White, *Belmont University*.

# POINT. CLICK. DONE.



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# NCURA Neighborhoods

## Connecting Your Community

### DEPARTMENTAL

Finish up the fiscal year and it's time to refocus on welcoming new faculty and finding new funding! Junior faculty always start their careers with a lot of energy and ideas, but many have little or no experience putting together a grant proposal. As departmental administrators, there is a lot we can do help our new faculty find their initial sources of funding and get going on a successful academic career. Here is a few of my favorite tips for working with new faculty:

- Suggest a timeline for the project to help think clearly about scope and goals. This will also help you create a budget that reflects the project.
- Create a checklist of items and information you need to complete the budget.
- Be tough when you need to and stick to your deadlines.
- Listen. Investigators love to talk about their research and they tend to be more open and honest about financing the research when you show an interest in the research.

Remember, NCURA is offering training sessions at their conferences, so check those out in the conference programs!

Remember NCURA offers a wealth of sessions geared for departmental administrators so be sure to plan to attend a future conference to network and learn from administrators from around the country who have the same challenges as you - it's always a great learning experience. If you can't make a meeting consider the Departmental Administration Neighborhood and listserv as resources a few keystrokes away!

#### News Flashes for departmental administrators:

- Adobe Reader 9.0 is compatible with grants.gov
- NSF is now enforcing the policy that grantee no cost extensions must be submitted 10 business days before the term date of the grant.

Kirsten Yehl is a member of the Departmental Administration Neighborhood Committee and serves as Administrator, Institute for Healthcare Studies, and Division of General Internal Medicine Academic Programs, Northwestern University Feinberg School of Medicine.

### FRA

There is good news for institutions receiving K08 and K23 awards! Effective October 1, 2008, the salary cap on the Mentored Patient Oriented Research Development Award (K23) and Mentored Clinical Scientist Research Development Award (K08) supported by the National Institute of Environmental Health Sciences (NIEHS) will be 75% of the Principal Investigator's Institutional Salary Base, not to exceed the level of the legislated cap which for FY 2008 is \$191,300 (see: <http://grants.nih.gov/grants/guide/notice-files/NOT-ES-08-008.html>). Also, K23 and K08 award applications that are assigned to the NIEHS may request up to \$40,000 in Research Development Support. Note, salary caps and career

development costs on other career development programs supported by the NIEHS are unchanged from previously published levels.

Are you going to the Annual Meeting in November? There are excellent opportunities to get to know your FRA colleagues through networking. Visit with representatives from the FRA Neighborhood over breakfast roundtables Monday and Tuesday morning in the exhibition hall. If you are not a morning person, be sure to sign up for the FRA Neighborhood's dinner group Monday night where you can exchange trade secrets and get to know colleagues from all over the country who deal with many of the same challenges.

Linda Ward is a member of the FRA Neighborhood Committee and serves as Grant Accounting Manager at Children's Hospitals and Clinics of Minnesota.

### PUI

#### A Review of Effort Reporting

##### 1. What is it?

It's a compliance issue to document that work/activity/effort promised to a sponsor was actually completed. Compliance insures that the sponsor's standards are fully met. Effort Reporting is discussed in OMB Circular A-21 Section J. Because that circular deals with cost principles, there are areas where each institution must decide on what's required versus what's nice to have. The balancing act is to find a way to document time and effort (or activity - Personal Activity Reports) so that federal requirements are met, but not hogtie your principal investigators with unnecessary busywork.

##### 2. What is necessary?

One thing everyone needs to know is that since salary, wages and benefits are material to so many grants, adequate documentation is where auditors often find problems. It's not that the institution is trying to cheat the government. It's that too often PIs do not properly document their effort; or fail to understand how important it is. Often at a PUI the college or university administration fails to understand how important proper documentation is.

##### 3. The Criteria for Acceptable Methods – OMB A-21 J10b(2)(a).

*FIRST: Where possible T&E reports should be integrated in the Payroll Distribution / "incorporated into the official records of the institution. (A-21 J10b(2)(a)*

*SECOND: The reports must reasonably reflect the activity for which the employee is compensated A-21 J10b(2)(a).*

*THIRD: T&E reporting is not submitted to the federal government. They are retained at the institution (be clear and logical about where records are kept so it makes sense to everyone).*

*FOURTH: The T&E reports are always kept/adjusted "after-the-fact" reporting a correct percentage distribution of activity. Plans may be adjusted after the money is spent to make sure that the money was apportioned properly A-21 J10c(2)(b).*

*FIFTH: There must be full disclosure and "reports will reasonably reflect the activities for which employees are compensated by the institution. To confirm that the distribution of activity represents a*

# Virtual Communities of Professional Interest

## [www.ncura.edu/members/Neighborhoods](http://www.ncura.edu/members/Neighborhoods)

reasonable estimate of the work performed by the employee during the period, the reports will be signed by the employee. . . .” This is a charge back system. It’s important to know how much time an individual worked (all activities – related to the sponsored agreement or not) in order to charge the correct proportion of salary or wage to each account. (A-21 J10c(2)(a,b))

SIXTH: There must be a credible endorsement or signature to verify the work was performed. Cost Principles do not disallow electronic signatures, and many institutions use them. One of the Bush Administration’s area of emphasis has been electronic government.

SEVENTH: The persons signing the T&E report are (1) the employee him/herself – and, (2) the “principal investigator, or responsible official(s) using suitable means of verification that the work was performed.” (A-21 J10c(2)(c)).

EIGHTH: A “reasonable estimate” rather than a precise number is acceptable. The feds recognize that we are not tracking billable hours as other professions do. This is another application of principle left up to the individual institution. There may be differing opinions what constitutes a “reasonable estimate,” but if the institution can show that it is consistent in its application of correct principles they are usually in good stead. A-21 J10b(1)(c) “A precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate.”

NINTH: The payroll “distribution system must be able to reflect categories of activities as a percentage distribution of total activities.” Many PI’s (and administration) think that 40 hours is the standard work week used by the federal government. This is not true. The total number of hours worked help determine what percent of effort was spent on each work activity, for which the employee is paid by the institution.

TENTH: Timely adjustment and completion is required. Professorial and Professional (or exempt) Staff may complete these reports “no less frequently than every six months.” Other employees’ reports (Classified or non-exempt Staff) will be prepared “no less frequently than monthly” (A21-J10c(2)(e)). Significant changes is defined as those over an academic period.

ELEVENTH: Independent evaluators must be able to assess the degree to which the institution meets the federal requirements. The federal government is willing to dictate what needs to come to them, but not the exact kind of report that must be retained to the institutions. Institutions have retained the right to determine some of the business features unique to institutions of higher education. It’s easy to over-interpret the federal requirements.

#### 4. [After choosing an acceptable method:](#)

(a) Plan Confirmation, (b) After-the-fact Activity Records, (c) Multiple Confirmation Records, carefully read the instructions after each method.

#### 5. [Check with colleagues to see what they use.](#)

You may be able to improve on your system. The PUI email listserv is a great avenue for this self-evaluation. PUI’ers stand ready to help other PUI’ers.

Ken Clark is chair of the PUI Neighborhood Committee and serves as Director, Grants & Contracts, Lewis-Clark State College.

## PRE-AWARD

### Let’s head off trouble before it starts!

We are all in a time crunch. There is always a proposal arriving at 4:30, or later, and due by 5:00. So, how can we prevent some of the issues that come up at the post-award stage?

#### [Create Proposal review checklists](#)

Checklists that include your institution’s particular pre and post-award needs can be a quick reference to ensure all the necessary documentation has been gathered.

#### [Look over the proposal narrative](#)

A quick scan of the technical proposal can provide enough information to flag for future compliance issues.

#### [Budget Screening](#)

- Do CAS exceptions have adequate justification?
- Are subawards and consultants listed correctly?
- Are subawards and consultants correctly budgeted?
- Have appropriate fringe and overhead rates been used?
- Have sponsor guidelines been followed?

#### [Narrative Screening](#)

- Are partners mentioned in the narrative that aren’t included in the budget?
- Are there indications that compliance issues need to be addressed?
  - IRB, IACUC, Hazardous Materials, DNA/RNA, etc.
  - Do any of these activities require a budget line (i.e. animal upkeep)?
- Have sponsor guidelines been followed in constructing the narrative?

#### [Subawards](#)

- If there are subcontracts or subawards, has the necessary documentation been gathered?
  - Is there a scope of work included for just the sub’s portion of the work?
  - Is there a budget for the Subaward?
- Does it include appropriate overhead charges?
  - Is there a letter of commitment from the subawardee’s institution, signed by the authorizing official of that institution?

#### [Contractual](#)

- Does the solicitation contain terms and conditions that will be included in the award?
- Have they been reviewed by someone knowledgeable about award terms?
- A simple exception letter included with the proposal can save negotiation time at the award stage.

A little advance screening and follow up can save a lot of trouble later on. For more information and tools to help develop your own check list, go to the pre-award neighborhood’s website: [http://www.ncura.edu/content/regions\\_and\\_neighborhoods/neighborhoods/pre\\_award/index.php](http://www.ncura.edu/content/regions_and_neighborhoods/neighborhoods/pre_award/index.php).

Teresa Carey is a member of the Pre-award Neighborhood Committee and serves as Contract and IP Specialist, Office of Technology Commercialization, Texas State University.

NATIONAL  
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NCURA

# FINANCIAL RESEARCH ADMINISTRATION X

TURNING THE PAGE:  
REFLECT, ASSESS AND PREPARE

FEBRUARY 9 – 11, 2009

LA QUINTA RESORT & CLUB  
LA QUINTA, CA





Dear Colleagues,

Not only is this the fiftieth anniversary year of NCURA, but it is also the tenth Financial Research Administration conference. Our conference theme, "Turning the Page: Reflect, Assess and Prepare" salutes both anniversaries.

As we look to another Financial Research Administration conference, we note that, as is true through the range of research administration, some topics continue to be revisited, others are new; some look forward to our electronic era, others look back on audits that have been. But regardless of what you are looking for in preparation for the future, you will find it at FRA X! This year, we've labeled the meeting sessions by topics rather than track—we are hopeful that this will help you more easily find what you are looking for. In addition, the pre-meeting workshop series has something for everyone from the newcomer; to those more seasoned administrators, and a full slate of senior level seminars.

As part of NCURA's organizational wide initiative of going green, FRA X is doing its part by providing the participants a CD containing all of the available handouts rather than the traditional binder. Participants can look forward to viewing the handouts on the FRA website before the conference, so if you are someone that wants to take notes on the handouts, you can easily print the handouts of the sessions that you would like to attend and bring them with you.

The venue for FRA X couldn't be better in early February—La Quinta resort in La Quinta, California. This is the second time FRA has visited La Quinta; those that attended the first remember well what a beautiful setting to learn new things, brush up on old ones, and gather with old friends and new as we share together our experiences in and knowledge of research administration.

On behalf of our entire program committee, we invite you to join us at LaQuinta for a lively conference full of information for all in a setting that couldn't be more perfect!

Program Co – Chairs,

*Cathy Snyder*  
Vanderbilt University

*Jane Youngers*  
University of Texas Health Science Center  
at San Antonio

## ▶ PROGRAM COMMITTEE

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# The NCURA Election Results are IN

DAVID RICHARDSON, Assistant Vice President for Research at Pennsylvania State University has been elected Vice President/President-elect of NCURA. Richardson joined NCURA in 1993 and has been an active member for a number of years. He was elected and served as 2005-2006 Chair of NCURA's Southeastern Region and served on the National Board of Directors in 2007. Other NCURA service includes: Co-chair of the 48th Annual Meeting Workshops; NCURATV; Vice-chair of the Nominating & Leadership Development Committee; LDI Advisor; Co-chair of the FRA VIII Conference; and Co-editor of the NCURA Newsletter from 2003 – 2006. As Vice President, Dave will be responsible for next year's Annual Meeting. As he looks toward the coming year, Richardson had this to say, "I am honored to have the opportunity to serve an organization that has advanced the field of research administration for over 50 years. The future of NCURA is bright, and I look forward to serving our professional association as we achieve our mission and vision."

KATHERINE HO, Associate Director of the Office of Sponsored Research at Stanford University has been elected to the NCURA Board of Directors. Upon learning of her election to the Board, Ho said, "I am very excited to have the opportunity to serve the members of NCURA. I look forward to working with the other board members to enhance current programs, and develop and implement new programs for its membership which make NCURA such a valuable resource to research administrators." A member of NCURA since 2001, Ho has served in various volunteer roles including Secretary/Treasurer of the Western

Region, Regional Advisory Committee, Annual Meeting Program Committee and representative to the 2006 NCURA Leadership Convention.

ROBERT LOWMAN, Associate Vice Chancellor for Research at University of North Carolina at Chapel Hill has been elected to the NCURA Board of Directors. A member of NCURA since the 1970s, Lowman has served the organization in numerous capacities including service on the Professional Development Committee, workshop faculty, national conference speaker; and NCURA TV. He is currently finishing a three-year stint as co-editor of NCURA Magazine. When Lowman was asked how he felt about taking on the responsibility of a Board position he stated, "NCURA has been my professional home for a long time, and I'm honored and delighted at the opportunity to give back in a small way to an organization that means a great deal to me."

Both Lowman and Ho will begin serving on the Board of Directors on January 1, 2009 and will serve for two years. Richardson will take office on January 1, 2009 and serve for one year after which he will succeed to a one-year term as President of NCURA.



**Think**Small!

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You can hire the BIG consulting firm with the most staff or the SMALL one with the best hands-on experience. Think it over. Then contact Charlie.

**RACS**

RESEARCH ADMINISTRATION CONSULTING SERVICES

216-403-8176 ■ [grantsresearch@yahoo.com](mailto:grantsresearch@yahoo.com)



# Building Faculty Connections

continued from page 12

Sponsored programs offices should strive to be creative in the types of support programs that are offered to the faculty as part of your professional development activities. Nearly all of us offer focused workshops on a set of common topics: budget preparation, proposal writing, post-award management, etc. to assist our faculty. While obtaining broad faculty participation is always a challenge, sending personal invitations, providing a collegial atmosphere (including food), and making sure the material presented is focused and relevant are important considerations in establishing successful programs. Cohort programs that target specific groups such as first year faculty, early career/pre-tenure faculty, faculty from a selected department or college, or cohort programs directed toward a specific funding agency (NSF, NIH, NEH, etc.) can be extremely effective in building faculty relationships. These programs tend to offer multiple workshops in a structured sequence and are typically tied to producing some specific outcome (grant proposal, scholarly article, etc.). They give sponsored programs staff members opportunities to work closely with faculty for an extended period of time and can be very effective in building partnerships with your faculty. Make sure your programs don't neglect senior faculty or faculty who are interested in rekindling their scholarly activities.

Sponsored programs offices should periodically and systematically review their administrative procedures to make sure they are as simple as possible. Like our funding agencies, we often times tend to add complexity to meet the ever-increasing needs for compliance. But we seldom look for opportunities to streamline existing procedures through the use of technology, through establishing better coordination of services with other campus offices, or simply by providing better customer service.

It is important to keep in mind that even our most troublesome faculty colleagues are going above and beyond the call of duty when they actively pursue external funding opportunities through our office. It has been my experience that the vast majority of faculty who visit our offices are highly appreciative of our efforts and the services that we provide. We need to clearly demonstrate our appreciation for their efforts as well. After all, they are the reason we are here.

*Jerry Pogatschnik is the Graduate School Dean and the Associate Vice President for Research at Eastern Kentucky University.*

## NCURA MINI GUIDES



	Member Price	Non-member Price	Quantity	Total Price
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## Faculty and Research Adminis

A close-up photograph of a person's hand holding a large, ornate brass key. The hand is positioned palm-up, with the thumb and index finger gripping the handle of the key. The key is made of polished brass and features a large, oval-shaped handle with a central slot. The bit of the key is long and slender, ending in a complex, multi-toothed design. The background is a plain, light color, and the lighting is soft, highlighting the textures of the skin and the metal.

*...if oil and water can  
combine, why not the  
interests and goals of faculty  
and research administrators?  
After all, we both ultimately  
share a common desire—  
to celebrate and support  
the incredible scientific  
work being done  
at research institutions.*

The thought of faculty and research administrators mingling for their mutual benefit sounds as unlikely as mixing oil and water. But this analogy may be more apt than you might think as research has actually shown that you can mix oil and water, provided you first remove all the gas from the water (R. M. Pashley, *Journal of Physical Chemistry B*, vol 107, p 1714). I'll leave it to you to decide who's on the gassier side of this analogy, but if oil and water can combine, why not the interests and goals of faculty and research administrators? After all, we both ultimately share a common desire—to celebrate and support the incredible scientific work being done at research institutions.

I finally realized I was in real trouble when I was asked to chair an institution-wide review of our administrative applications after an outcry from the research mission about the increased burden these applications had caused. Miraculously the resulting report was met with approval from faculty, research administration and institutional leadership, and in retrospect I now realize how that little document finally sealed my fate. The assimilation was progressing rapidly!!

The next thing I knew, I'd become my institution's faculty representative to the Federal Demonstration Partnership (FDP). PL106-107, A21, A110, OMB, OSTP, IGs, audits, export controls... things were getting out of control and it was becoming increasingly difficult to see the researcher in amongst the research administrator parts grafted onto my scientific soul. Co-chair of the Faculty Standing Committee and now Vice Chair of the FDP, the assimilation is almost complete but the researcher in me continues to fight for survival!!

# AND WATER”

## tration – A key relationship for the success of research

Joking aside, I have to admit to having learned a lot over the past 8-10 years and I have gained a healthy appreciation of the challenges faced by both faculty and research administration as the management of grants and contracts becomes increasingly more complex. Living in both worlds I am truly convinced that only by working together can these two groups ensure that scientific progress continues at a rapid pace and is not slowed to a crawl by the burden imposed by increased administrative activities.

This year marks the 20th anniversary of the FDP, which was formed as a program of the National Academy of Sciences Government University Industry Research Roundtable (GUIRR) to provide a forum whereby Universities and Research Institutes could collaborate with Federal Agencies to reduce the administrative burdens associated with research grants and contracts (<http://thefdp.org>). The list of FDP accomplishments is very impressive and many of the things we take for granted today are a result of this unique partnership. For example, over the first 10 years the FDP helped introduce streamlining such as automatic one-year no-cost time extensions, carry-forwards across continuation years, removal of prior approval for travel, and 90-day pre-award costs to name a few of its accomplishments, and continues to seek ways to simplify and harmonize processes.

In recognition of the importance of the relationship between research administration and the faculty responsible for executing federally funded research, the FDP formally added faculty representatives from each of its institutional members in 1996. In the ensuing years the faculty has taken an ever-growing role in prioritizing the issues tackled by the FDP. To some extent this has been a result of the faculty feeling more at ease with the jargon and never-ending list of acronyms used by their research administration and federal colleagues. Moreover, this relationship has helped give the faculty an increased appreciation of the complexities underlying the management of grants and research compliance. However, one cannot overestimate the important contribution faculty have had making their administrative and federal partners more aware of the impact that even minor changes in policy or procedure may have on the time faculty can commit to what they do best—research.

The continuing importance of faculty and research administration working together to maintain the pace of scientific progress was further emphasized by the recently published Faculty Burden Survey that was carried out as a key initiative of the FDP over the past few years (<http://thefdp.org/Faculty%20burden%20survey%20report.pdf>). The results clearly show that the time of the nation's most qualified scientists is being taken away from their research by administrative duties. Indeed the situation, if left unchecked, may become direr as most of the respondents indicated that the amount of time they spent on administrative activities has risen sharply over the past few years.

The results of this survey, gathered from a survey completed by 6,081 faculty with federal funding at FDP member institutions, clearly show that principal investigators on grants are spending an alarming amount of time conducting administrative activities rather than research. Indeed, of the time that faculty committed to federally funded research, 42 percent was devoted to administrative activities, not research.

These administrative activities included: grant progress report submissions; personnel hiring; project revenue management; equipment and supply purchasing; IRB protocols and training; the training of personnel and students; and, personnel evaluations. In addition, a subset of faculty, mainly conducting health science related research, highlighted IRB, IACUC and HIPPA compliance activities as being significant contributors to their administrative burden.

It should be noted that faculty do not under-value the importance of IRB, IACUC and HIPPA in the protection of animal and human subjects; we merely question the growing number of administrative procedures we have to follow to remain in compliance.

As grant submission and reporting becomes ever more electronic and compliance related activities continue their exponential growth, a closer relationship between faculty and their research administrators becomes even more important for continued scientific progress and maintaining the competitive edge the U.S. gained over the last half of the 20th century. For example, the panicked dash of faculty across town to catch the last FedEx shipment on the day of a grant submission deadline is rapidly becoming a thing of the past. Instead principal investigators are having to rely more heavily on their research administrators to ensure that their electronic grant packages are created properly and uploaded sufficiently ahead of time that any errors can be fixed before the deadline occurs. Likewise, research administrators are spending a greater amount of time educating faculty on how to comply with new compliance requirements and the complex terms and conditions often attached to the receipt of grant funding.

As it enters its next 6-year phase, the FDP hopes to leverage its unique relationship between faculty, research administrators and federal agencies to reverse the trend of increased faculty time spent on administrative activities. By investigating how appropriate changes in policies and their procedural implementation might alleviate some of the administrative burden incurred by principal investigators, the FDP will attempt to give time back to faculty so that they can increase their research productivity and maintain the competitive edge presently enjoyed by the U.S.

---

David W. Robinson, Ph.D. is a neuroscientist at Oregon Health & Science University (OHSU) studying the role of retinal development in the maturation of the circadian system. David also holds the position of Vice Provost of Academic Technology and acts as an advisor to the Vice President for Research on matters relating to research administration and information technology. David is the newly elected Chair of the Faculty Standing Committee and Vice Chair of the Federal Demonstration Partnership.

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# NCURA Calendar of Events

## MULTI-WEEK ONLINE TUTORIALS

A Primer on Clinical Trials (7 weeks).....Coming this Fall

## ONLINE CHAT

PUI Topic.....December 3, 2008 (2:00-3:00 pm EDT)

## FUNDAMENTALS OF SPONSORED PROJECT ADMINISTRATION

San Diego, CA.....December 3-5, 2008

## 2008 NCURA TV SATELLITE BROADCAST SERIES

Managing Cost Issues (DVD Available) .....aired January 22, 2008

Effective Proposal Development (DVD Available) .....aired March 11, 2008

Complex Agreements (DVD Available)..... aired June 10, 2008

Good Customer Service for Research

Administrators: How to Support the

Research Endeavor at Your Institution.....aired September 9, 2008

## NCURA ANNUAL MEETING 2008

50th Annual Meeting, Washington, DC .....November 2-5, 2008

## FINANCIAL RESEARCH ADMINISTRATION WORKSHOP

San Diego, CA.....December 3-5, 2008

## 2009 REGIONAL MEETING DATES/LOCATIONS

### REGION I

Mount Snow, VT .....May 3-6, 2009

### REGION II

Annapolis, MD.....April 26-28, 2009

### REGION III

Panama City, FL.....May 3-6, 2009

### REGION IV

Minneapolis, MN.....April 26-29, 2009

### REGION V

San Antonio, TX .....April 26-29, 2009

### REGIONS VI/VII

Santa Fe, NM .....April 5-8, 2009

## FINANCIAL RESEARCH ADMINISTRATION X CONFERENCE

La Quinta Resort & Club, La Quinta, CA.....February 9-11, 2009

For further details and updates visit our events calendar at [www.ncura.edu](http://www.ncura.edu)

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